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ABSTRACT

This module is the third in a self-instructional program designed to train public school personnel in how to manage educational projects. The purpose of this module is to assist local school district personnel in the development of project proposals. It covers four major phases: proposal planning, proposal preparation, proposal development, and termination of proposal development. In the area of proposal development, the module focuses on defining project objectives; selecting the approach for achieving objectives; producing management, cost, and technical sections of the proposal; preparing the detailed proposal document: and final editing and preparing for submission of the proposal. Submitting, amending, and negotiating the proposal are also covered. A six-page glossary of related terms is included. (Author/JM)

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EPMIS Educational Project Management Instructional System

Module 3 Proposal Development

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Module Manual

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Educational Program Management Center
The Ohio State University

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ACKNOWLEDGEMENTS

The development of this instructional package represents the combined efforts of many persons, each of whom made important contributions to the quality of the final product. Their efforts are greatly appreciated.

Mr. John Bowers contributed to the analysis, conceptualization, and design of the package while serving as a Research Associate at The Ohio State University. Later, as a Product Developer at Research for Better Schools, Inc., he assumed major responsibility for the pilot testing and revision of the package. Peter Stoycheff, Theresa Harrington, Dave Gilmore, Sid Rothenberg, and Kay Sanders also contributed to the analysis, conceptualization, and design of the package while serving as Research Associates at Ohio State. In addition, Theresa Harrington and Linda Jennings assumed responsibility for writing many of the lessons in the prototype version of the package.

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Dr. James Altschuld, Division of Planning, State Department of Education, Dover, Delaware

Mrs. Lee Ellwood, Associate Director, Texas Educational Renewal Centers, Austin, Texas

Dr. Stan Kruger, Division of Plans and Supplementary Centers, Bureau of Elementary and Secondary Education, US Office of Education

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CONTENTS

INTRODUCTION	Page
How to Use This Manual	2
Introduction to EPMIS	3
Goals of Module Three	4
USING THE LESSONS	
Lesson Sections and Organization	5
Group Use	6
FURTHER INFORMATION	
Glossary	7-14
Bibliography	15

HOW TO USE THIS MANUAL

This manual is designed to orient the reader to the Proposal Development instructional package which is Module 3 of the Educational Project Management Instructional System (EPMIS).

The Introduction to EPMIS (page 3) briefly describes the growing need for management techniques in American education, and introduces the EPMIS program. Brief summaries of each of the EPMIS modules will be found on page 3, followed by the goals of this particular module (page 4).

The sections and organization of the nine lessons which make up this module are described on page 5, followed by directions for using the lessons on an individual and a group basis (page 6).

This is followed by a Glossary of important terms (pages 7-14) and Bibliography (page 15), both of which you may find useful as you proceed through the lessons.

INTRODUCTION TO EPMIS

During the past ten years, the federal, state, and local governments have become increasingly active in funding projects and programs designed by educators to provide a variety of improvements in public education. Educators engaged in experimentation, curriculum revision, and other projects now abound.

Along with these public funds, however, has come public accountability, and the need for special emphasis on designing, administering, and evaluating new programs. As the scope of funded projects increases, as the amount of funds involved becomes greater, and as the project efforts become more ambitious and complex, the need for a skilled project manager becomes more apparent.

The Educational Project Management Instructional System (or EPMIS) is being developed by the Project Management Component of the Administering for Change Program of Research for Better Schools, Inc. It is intended to train public school personnel in the project management skills vital to the success of these projects.

The EPMIS package includes three instructional modules and some supplementary materials. Each module deals with a distinct aspect of project management and includes complete directions for use which make the materials self-instructional. The lessons are structured for use by both individuals and groups. Each lesson within a given module contains introductory materials to orient the reader, tests to help the learner measure his progress, specific instructional objectives, reading references, and other materials.

The paragraphs below describe the three modules of the EPMIS program.

1. Project Management Executive Orientation. This module is designed to introduce top-level administration to the concepts of "project," "management," and "project management." Topics such as the advantages and limitations of project management and the requirements and organization of a project management system in a local school district are emphasized.

2. Project Management Basic Principles. This module is designed for acting or potential project directors in a local school district and covers the four major phases of project management: project planning, preparation, operation, and termination.

3. Proposal Development. This module is designed to assist local school district personnel in the management of project proposals and covers the four major phases of proposal management: proposal planning, preparation, operation and termination.

GOALS OF MODULE 3

As a result of this instructional package, the learner should be able to:

1. Plan a proposal development effort including:
   a. Making a work breakdown structure of the tasks needed to develop the proposal.
   b. Devising a work flow for these tasks.
   c. Estimating time and develop a schedule for these tasks.
   d. Estimating the resources needed to develop the proposal.
   e. Deriving a budget of expenses for the proposal development.
   f. Writing a plan for developing the proposal.
2. Prepare to conduct a proposal development effort including:
   a. Obtaining proposal development personnel.
   b. Arranging for equipment and facilities.
   c. Setting up an initial meeting and information system.
3. Operating the proposal development effort including;
   a. Defining the proposed project's objectives.
   b. Selecting the approach for achieving the objectives.
   c. Producing management, cost, and technical sections of the proposal.
   d. Preparing the detailed proposal document.
   e. Conducting activities necessary to the final editing and submission of the proposal.
4. Terminating the proposal development effort including:
   a. Submitting, amending, and negotiating the proposal.
   b. Conducting activities associated with terminating the proposal development effort.

LESSON SECTIONS AND ORGANIZATION

The Proposal Development instructional package includes a module manual and nine lesson booklets, one for each lesson.

Each lesson has the same sections organized in the same order. The first section is the Introduction to Lesson which lists the page numbers of the various lesson parts. An Overview of the lesson is next; it describes the relationship of this lesson to the ones following and preceding. A Statement of Objectives give both general and specific instructional objectives for the lesson. This is followed by the Lesson Location Chart which shows the learner the location of this lesson within the sequence of the Proposal Development instructional package; it is designed to supplement the Overview.

The Pretest is next (pink color-coded), followed by a page which gives the correct answers to the pretest plus suggested options for you to follow depending on your performance on the test. The Lesson Abstract and Content Outline provide condensed views of the lesson, and are followed by the Lesson Text itself.

The Exercises (green color-coded) follow to give you practice for the skills and knowledge contained in the lesson. Upon completion of the last exercise in the lesson, several options are suggested for you to follow depending on your performance on the exercises. The Post-test (also pink color-coded) allows you to check your performance, and leads to several suggested options, such as moving to additional examples for study, reading reference materials, or reworking some of the exercises.

GROUP USE

Although this module is designed to be self-instructional, so that an individual learner can work through the materials completely independent of anyone else, the lessons adapt easily for group presentations. Here are some suggestions you might find helpful for group situations:

1. Equipment - The presentation might be aided by having on hand a chalkboard and an overhead projector (complete with overlays and grease pencils). This might be especially helpful in solving exercises as a group.

2. Group directions - The group leader should:

   A. Provide each learner with a Module Manual, and the nine lesson booklets.

   B. Have each learner read and complete the Module Manual and all lesson materials by himself.

   C. Bring the learners together for a discussion of the text, exercises, and tests so as to exchange ideas and solutions.

GLOSSARY

This glossary of terms is designed to give you a reference to the definitions of terms used in this module. In addition to the definitions themselves, two other aids have been added to make the glossary more useful to you.

First, at the end of the definition of many of the terms, you will find a reference to the module and lesson where that term is discussed in more detail. A shorthand form of referring to the module and lesson numbers has been used for this purpose.

For example, if you found this reference at the end of the definition of the term you were looking up -- (see 3/5-7) -- you would know that a further discussion of the term would be found in Lessons 5 through 7 in Module 3.

These end-of-definition references refer you only to Module 3 Proposal Development and Module 2 Project Management Basic Principles.

Second, a quick index to the glossary has been provided for you on the next page. This quick index lists all the terms defined in the glossary. By looking at this one page, you can see immediately if the term you want is in the glossary. You don't have to leaf through all the pages of the glossary to find if the term is there.

The quick index to the glossary is on the next page. The glossary itself begins on the page after the index.

Directions: Turn to Lesson 1 which is titled Proposal Development and Its Relationship to School District Planning and Project Management.

-- A Quick Index to the Glossary --

abstract
administration
assurances, legal
(see legal assurances)
audit, educational program
(see educational program audit)
authority
budget
calendar, task-event
(see task-event calendar)
controlling
cost plan
critical path
decision-making
deviation
diagram, work flow
(see work flow diagram)
directing
director, proposal
(see proposal director)
educational program audit
evaluation
Gantt chart
(see task-event calendar)
goal
grantsmanship
history, project
(see project history)
internal review
legal assurances
lead time
limits
line-item budget
(see budget)
management
management information system
management plan
milestone
mission
negotiation
objective
objective-referenced budget
(see budget)
operations phase
organization chart
organizing
path, critical
(see critical path)
PERT (see Program Evaluation and Review Technique)
planning
planning phase
policy
preparation phase
problem
problem analysis
procedure
Program Evaluation and Review Technique (PERT)
project
project history
project management
proposal
proposal development
proposal director
Request for Proposal (RFP)
resource allocation
review, internal
see internal review)
RFP (see Request for Proposal)
scheduling
task
task-event calendar
technical plan
termination phase
work breakdown structure
work flow diagram
work package

-- Glossary Terms and Definitions --

abstract -- that section of the proposal document which provides a brief condensation of the proposed project, emphasizing the major objectives and procedures. (see 3/8)

administration -- a process involving the execution of management decisions within an organizational framework utilizing pre-established rules for decision-making.

assurances, legal -- (see legal assurances)

audit, educational program -- (see educational program audit)

authority -- the right to act, to make decisions, or to command others.

budget -- the expression in financial terms of a management plan for a project. A budget may be written as an objective-referenced budget in which a separate cost can be derived for each project objective; or it may be a line-item budget showing a cost for each category of expenditure (e.g., personnel salaries, equipment, etc.) (see 2/6 and 3/7)

calendar, task-event -- (see task-event calendar)

controlling -- in project management, a three-step process involving (1) identifying the problem, (2) solving the problem, and (3) implementing the chosen solution to the problem. (see 2/9-11)

cost plan -- that portion of a proposal document which presents the plan for expending project monies; equivalent to a budget. (see 2/6 and 3/7)

critical path -- the longest or most time consuming pathway within a network of various paths which connect the activities required between the start and finish of a project. (see 2/4)

decision-making -- identifying or selecting a course of action from among two or more possible alternative courses of action.

deviation -- a difference between a planned situation and an actual situation; a project management problem.

diagram, work flow -- (see work flow diagram)

directing -- in management, the activity of motivating employees to accomplish their tasks. (see 2/1)

director, proposal -- (see proposal director)

educational program audit -- a study conducted by a person not directly involved with a project to verify the results and conclusions of the project's own evaluation of how well it accomplished (or is accomplishing its objectives. (see 3/6)

evaluation -- an activity whose purpose is to verify if the project has achieved its intended process and product objectives.

Gantt chart -- (see task-event calendar)

goal -- a broadly stated end point to be reached in the future. In a project, a goal is the identified end product and is at the top level of the work breakdown structure. (see 2/2 and 3/4)

grantsmanship -- in proposal development, informal knowledge, skills, techniques, and experience which may be brought to the proposal development situation to help improve the quality of the final proposal document. (see 3/7)

history, project -- (see project history)

internal review -- in proposal development, the review of the proposal document in a near finished form for the purpose of obtaining comments, suggestions, criticisms, and approval of persons within the school district; conducted prior to a final revision and submission to the funding agency. (see 3/8)

legal assurances -- that section of a proposal document which presents assurances to the funding agency that the project will observe laws and regulations related to racial discrimination, equal employment opportunity, invasion of privacy, etc. It must be signed by the proper school district officials and is often simply a printed form. (see 3/8)

lead time -- the time between the order of a resource and its need or use in the accomplishment of an activity. (see 2/4-5)

limits -- the allowable tolerance for acceptability of the standards specified for time, cost, and performance at project control points. Limits may be either positive or negative or both with respect to the standard set.

line-item budget -- (see budget)

management -- the method of attaining organizational goals by (1) developing a plan, (2) arranging operations in conformity to the plan, and (3) creating an environment which is favorable to the performance of the people belonging to the organization. These three steps are usually referred to as planning, organizing, and directing. It is a process which involves a high degree of uncertainty and unprogrammed decision-making.

management plan -- that portion of a proposal document which presents the plan for managing the activities of the proposed project. It usually includes a work breakdown structure, a work flow, time estimates and schedules, and resource estimates. (see 2/1-6 and 3/7)

milestone -- important events identified in the work flow of a project such that if not completed on time the project goal will not be attained on schedule or possibly not achieved at all. (see 2/3)

mission -- a mission is composed of several tasks and is itself a sub-goal. A mission is a focused activity, or package of work, using a limited amount of project resources and staff at the middle level in the hierarchial work breakdown structure. (see 2/2 and 3/4)

negotiation -- an activity conducted between persons submitting a proposal and representatives of the funding agency in which differences are resolved concerning the management, cost, and technical plans of a proposal. (see 3/9)

objective -- statements which specify a desired outcome. The statement can be one which includes a broad area of concern or need or it can specify an extremely narrow concern.

objective-referenced budget -- (see budget)

operations phase -- that phase in the management of a project during which the project is actually operated and monitored for problems or deviations which are then analyzed and solved. In proposal development, the operations phase is called the proposal operation and is the period in which the proposal for a project is created. (see 2/9-11 and 3/4-8)

organization chart -- that portion of a management information system which shows in graphic form the authority and responsibility of the project staff and the reporting channels for the flow of information. (see 2/8 and 3/3)

organizing -- that activity by which the manager established an integrated system of authority and responsibility relationships in which the members know what their tasks are and how they fit into and responsibility to accomplish these tasks.

path, critical -- (see critical path)

PERT -- (see Program Evaluation and Review Technique)

planning -- the management process of determining objectives, defining and evaluating alternative courses of action, and selecting the course which will most effectively and efficiently achieve the established objectives.

policy -- a general statement or rule which guides or channels thinking in decision-making. It can be formally stated or a result or practice over time.

preparation phase -- in project management, that phase of activities involving the acquisition of equipment, and facilities, the establishment of an information system, and the organizing of personnel. In proposal development, it is that period when the proposal director acquires needed equipment, facilities, and materials; organizes the proposal development team and assigns task responsibilities; and develops an information system. (see 2/7-8 and 3/3).

problem -- a deviation from a plan or a discrepancy between what is and what is desired.

problem analysis -- the process of identifying and defining a deviation from plan and determining its specific cause. (see 2/10)

procedure -- Guide to routine actions emphasizing a chronological sequence. Practices which are so recurrent and routine as to lend themselves to formalized response.

Program Evaluation and Review Technique (PERT) -- a management system for planning and controlling many activities related to the accomplishment of an objective in a once-through effort. (see 2/3-5)

project -- an activity which possesses the following five characteristics: (1) finite in character with a single goal to be accomplished; (2) complex in nature involving a large number of tasks; (3) unique in that it involves a one-time-only effort; (4) uncertainty about the path or series of activities leading to the goal; (5) producing a definable end product within time, cost, and performance specifications. (see 2/1 and 3/1)

project history -- a written account of the major events, problems, solutions, actions, etc. of the project to be kept as a record for reference and guide. (see 2/12 and 3/9)

project management -- the activity of managing a project. The activities are classified into four phases of project planning, project preparation, project operations, and project termination. (see 2/1 and 3/1)

proposal -- a document which can be submitted to a funding agency to apply for support to operate an educational project. The document describes the need for the project, its objectives, and a management, cost, and technical plan for achieving the objectives.

proposal development -- the activity of managing the development of a proposal. It is analogous to the management of a project. Proposal development activities are classified into four phase of proposal planning, proposal preparation, proposal operations and proposal termination. (see 3/1)

proposal director -- the person charged with the responsibility to manage the development of a proposal document.

Request for Proposal (RFP) -- a solicitation from a funding agency for proposals for an educational project usually in a specified area of concern.

resource allocation -- translating an approved plan into a schedule by assigning resources to accomplish the planned activities during a specific calendar period. The process of applying resources toward the accomplishment of a plan, procedure, policy, tactic, or strategy. (see 2/5)

review, internal -- (see internal review)

RFP -- (see Request for Proposal)

scheduling -- the translation of a plan into a time table showing the specific calendar dates for the start and completion of work and tasks to reach the project goal. (see 2/5)

task -- the smallest unit of action in a work breakdown structure. It is a single activity or an element of a work package which uses a single person of the staff and little resources.

task-event calendar -- a tool for planning work and relating activities to time or schedule. In such a chart or calendar, the horizontal axis represents time and the vertical axis lists tasks or activities to be accomplished. (see 2/5)

technical phase -- that portion of a proposal document which identifies the needs, proposed solution, procedures, rationale, and evaluation of the proposed project. (see 3/6)

termination phase -- in project management, the final phase in which the project is simply ended or integrated into the system as an ongoing activity. In proposal development, the phase in which the proposal development is ended by submission and negotiation of the proposal and the release of personnel from their proposal development duties. (see 2/12 and 3/9)

work breakdown structure -- a hierarchical arrangement of the tasks involved in achieving a given goal. (see 2/2 and 3/2)

work flow diagram -- a diagram illustrating the tasks from the work breakdown in the order and relationship in which they will be accomplished to achieve a project's objectives. (see 2/3 and 3/2)

work package -- a specific job to be accomplished which is usually within the responsibility of one operating unit in an organization and makes up one item on the work breakdown structure.

BIBLIOGRAPHY

Listed below are a number references which you may consult if you wish to have more information about managing the development of a proposal. Specific books or sections are cited on the following pages for each of the lessons in the module.

Brittingham, Barbara and Morrison, Max. Everything You Always Wanted to Know About Proposal Writing. Great Plains Regional Interstate Project.

Cook, Desmond L. Educational Project Management. Columbus, Ohio: Charles E. Merrill Publishing Company, 1971.

Crawford, Jack, and Kielsmeier, Cathy. Proposal Writing. Corvallis, Oregon: Continuing Education Publications, 1970.

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Hanna, Lyle. Preparing Proposals for Government Funding. Englewood Cliffs, New Jersey: Prentice Hall, Inc., 1969.

Havelock, Ronald G. Planning for Innovation Through Dissemination and Utilization of Knowledge. Ann Arbor: Univeristy of Michigan Institute for Social Research, 1971.

Kaufman, Roger. Educational System Planning. New York: McGraw-Hill, 1972.

Krathwohl, David R. How to Prepare a Research Proposal. Syracuse, New York: Syracuse University Bookstore, 1966.

Morin, Alfred J. Handbook for Educational Program Audit. Washington, D. C.: U.S. Office of Education, 1971.

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16/6

Lesson 1

Cook, Chapters 1 and 3.
Gronlund.
Hall, Chapters 1 and 2.
Haverlock.
Kaufman.

Lesson 2

Cook, Chapters 5, 6, and 9.
Crawford, pp. 14-15, 29-32, 119-125.
Hall, Chapters 3, 4, and 8.
Hanna, pp. 9-26.
Krathwohl, p. 17 and pp. 39-41.

Lesson 3

Crawford, p. 16 and pp. 126-127.
Hall, Chapter 11.
Hanna, p. 59.
Krathwohl, pp. 42-43.

Lesson 4

Cook, Chapter 5.
Crawford, pp. 6-9 and 89-97.
Gronlund.
Hall, Chapters 1, 2, and 7.
Hanna, pp. 36-37.
Havelock.
Krathwohl, pp. 28-29.

Lesson 5

Brittingham, p. 3.
Hall, Chapter 8.

Lesson 6

Crawford, pp. 133-169.
Hall, Chapters 9 and 10.
Hanna, pp. 62-65.
Havelock.
Morin.
Stenner.

Lesson 7

Cook.
Crawford, pp. 14-17, 119-125, and 128-131.
Hall, Chapters 8 and 12.
Hanna, pp. 58-61.
Krathwohl, p. 23 and pp. 39-41 and 44-45.

Lesson 8

Hall, Chapters 4 and 5.
Hanna, p. 33.
Krathwohl, p. 46.

Lesson 9

Hall, Chapter 13.
Hanna, pp. 64-65.
Krathwohl, pp. 20-21.

Lesson 1

Proposal Development and Its Relationship to School District Planning and Project Management

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EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 1

Proposal Development and Its Relationship to School District Planning and Project Management

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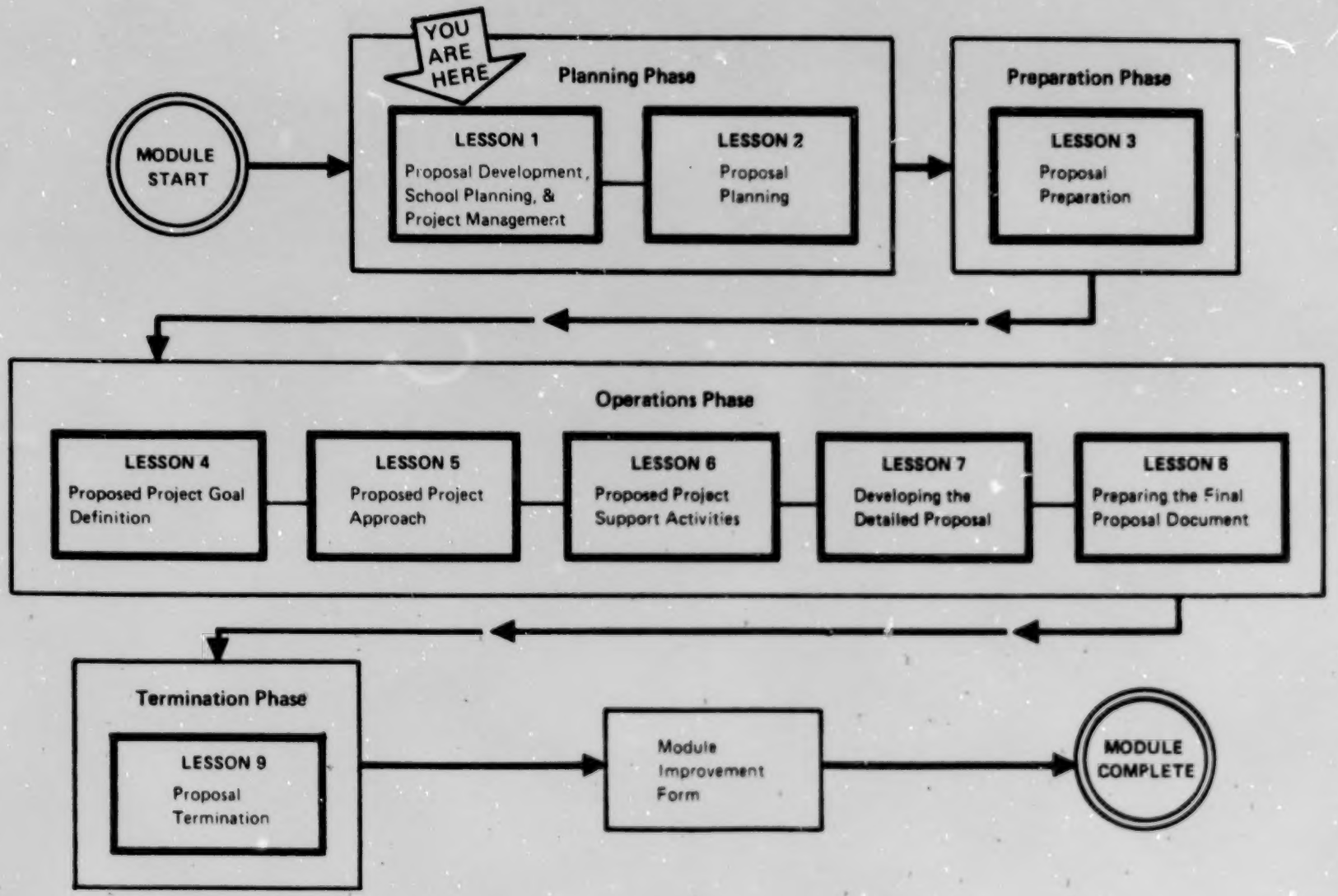
Introduction to Lesson

This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Booklet containing the following items. Page

Introduction to lesson..... 1
Overview and objectives..... 3
Pretest..... 4
Lesson abstract and content outline..... 7
Lesson text..... 9
Practice exercise..... 21
Post-test..... 26

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The purpose of this lesson is to introduce the concept of project management as applied to the development of project proposals and to describe the relationship between school district planning and the proposal development process.

In subsequent lessons the management of a proposal development effort is examined in detail as one progresses through the phases of the proposal development process.

OBJECTIVES

The student in completing this lesson should be able to define the concept of the proposal development process and describe its relationship to school district planning and project management. The specific objectives of the lesson are as follows:

1. The student should be able to define the concepts of school district planning, proposal, project, the project management process, project implementation, and the proposal development process.

2. The student should be able to describe the relationship between proposal development and school district planning.

3. The student should be able to describe the relationship between proposal development and project management.

Pretest

Directions: Please take time to answer carefully the multiple choice and true/false questions given below. For the multiple choice questions you are to circle one correct or best answer (A,B,C or D) and for the true and false you are to indicate the correct response with the letter T or F.

1. What statements would most accurately describe a project?

   A. A project is a complex goal-oriented activity which has a finite life span, a cost limit and uncertainty about the accomplishment of its goal.
   B. A project is a plan to achieve a goal.
   C. A project is an activity scheduled to reach a goal at a specific time.
   D. A project is an activity that does not have specified start and completion dates but does have a goal and a budget.

2. What phase of the project management process usually involves the acquisition of work facilities?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

3. When is a priority list of needs usually generated in the school district planning process?

   A. After funding sources have been identified.
   B. Immediately prior to the identification of funding sources.
   C. Usually after needs assessment data have been collected relative to school district goals.
   D. School district planning is a continuous process and therefore a list of priorities can be identified at any stage of the school district planning process.

4. What phase of the proposal development process normally includes the actual writing of the proposal?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

5. In which phase of the project management process does budget preparation occur?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

6. In which phase of the project management process are personnel organized to achieve tasks?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

7. When is the search for funding agencies usually undertaken in the school district planning process?

   A. Prior to the development of a list of school district priority needs.
   B. After program alternatives have been evaluated for cost-effectiveness.
   C. After the list of school district priorities has been developed.

Indicate whether the statements listed below are true or false by writing a T or F on the line.

8. ____ The management of a proposal development effort is similar to the management of any project.

9. ____ While the specific format of a proposal may vary among funding agencies, most proposal documents include a Technical Plan, a Management Plan, and a Cost Plan.

10. ____ The decision of a school district to operate a project is one possible output of school district planning.

Turn the page and check your answers.

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 1 Pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of proposal development and its relationship to school planning and project management. You should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation on page 9.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal development and its relationship to school planning and project management. You should read the lesson abstract and outline beginning on page 7. Then if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 21. If you desire to read the content presentation, turn to page 9.

Multiple Choice

1. (A) B C D
2. A (B) C D
3. A B (C) D
4. A B (C) D
5. (A) B C D
6. A (B) C D
7. A (B) C D

True/False

8. T
9. T
10. T

Number Correct = _____

Lesson Abstract and Content Outline

ABSTRACT

Proposal development is an activity undertaken by a school district when a decision is made to operate a project in order to fulfill a need in the school program. The decision to operate a project is usually an output of school district planning. The development of a proposal is usually begun when there appears to be a possibility of securing funds for the project. The development of a proposal is by its very nature a project. Proposal development can be perceived as proceeding through the phases of the project management process.

CONTENT OUTLINE

A. The proposal development process may be better understood with reference to the following concepts:

   1. school district planning,

   2. proposal,

   3. project,

   4. project management process,

   5. project implementation,

B. School district planning is a continuous process of determining what needs to be accomplished in order to realize school district goals. The planning process involves several ongoing activities:

   1. developing goals and objectives,

   2. collecting data describing the achievement of these goals,

   3. data analysis and identification of priority needs,

   4. identifying alternatives,

   5. cost-effectiveness analysis of those alternatives,

   6. selection of alternatives,

   7. identifying possible funding sources.

C. A proposal is a document presenting an initial plan for a project designed to accomplish school district goals. The proposal includes project plan, budget, documentation of need, and data supporting the approach indicated by the project.

D. A project is a complex, goal-oriented activity, having a finite life span, a cost limit, and some uncertainty about the accomplishment of its goals.

E. The project management process includes four periods termed the planning, preparation, operations, and termination phases of a project

1. Planning includes goal-setting, specifying tasks, developing a work flow, estimating time and cost, estimating and scheduling resources, and budgeting.

2. Preparation involves obtaining and organizing personnel, equipment, materials, and facilities, and creating a project information system.

3. Operations activities encompass problem identification, problem solving, and solution implementation.

4. Termination may involve activities appropriate to halting a project upon completion of goals, or integrating project activities into ongoing institutional programs.

F. The proposal development process consists of the four phases of the project management process (planning, preparation, operations, and termination) as applied to the creation of a proposal document.

G. Project institutionalization refers to the transition or merging of a project's end-product into an on-going program. Such a merger can involve further use of project management techniques and should include the feedback of information into school district planning activities.

Lesson Text

Introduction

The purpose of this lesson is to introduce the proposal development process and to place it in proper perspective within a local school district setting. In order to fully understand this process, it is necessary to define the following concepts:

- o school district planning
- o proposal
- o project
- o project management process
- o project implementation

Each of these concepts and the proposal development process is discussed in some detail in the sections that follow.

School District Planning

School district planning involves the development of goals and objectives, the collection of data related to the achievement of these goals and objectives, the analysis of the data, the identification of priority needs or problems, the search for feasible alternatives to satisfy these needs, the analysis of the cost-effectiveness of these alternatives, the selection of alternatives, and the search for possible funding sources to help implement the chosen alternatives.

School district planning is a continuous process that is usually performed on the basis of an annual cycle. The planning process is depicted in Figure 1.1 which has been modified from a model being used to develop a Comprehensive Planning Instructional System at Research for Better Schools, Inc.

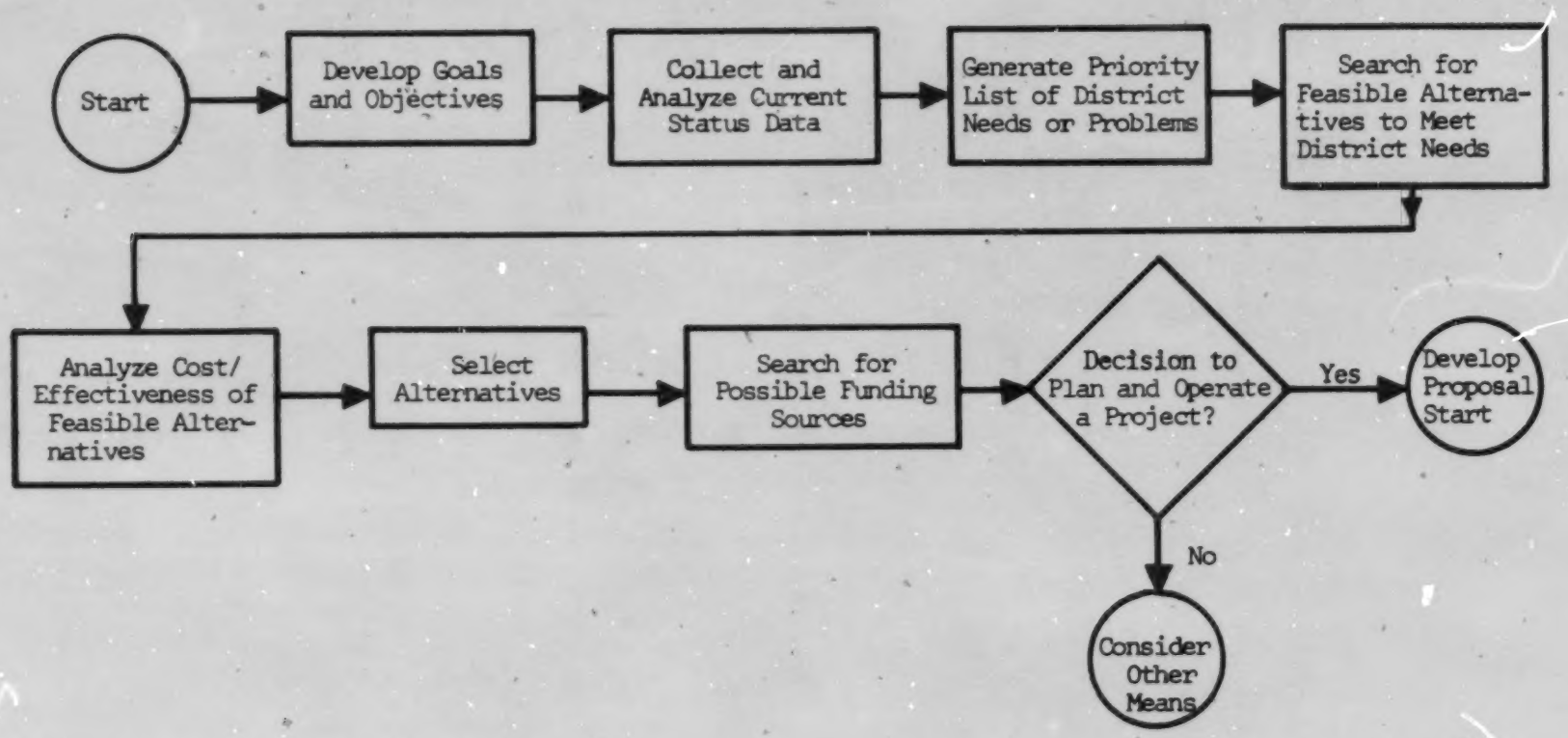

Start
Develop Goals and Objectives
Collect and Analyze Current Status Data
Generate Priority List of District Needs or Problems
Search for Feasible Alternatives to Meet District Needs
Analyze Cost/ Effectiveness of Feasible Alternatives
Select Alternatives
Search for Possible Funding Sources
Decision to Plan and Operate a Project?
Yes
Develop Proposal Start
No
Consider Other Means

Figure 1.1--Steps in the School District Planning Process (Modified from Comprehensive Planning Instructional System, Research for Better Schools, Inc.)

Information is gathered annually, including indicators of pupil performance, pupil perceived needs and community perceived needs. The analysis and interpretation of this information may result in changes in school district goals and curriculum objectives and/or the identification of needs that are currently only being partially met. Next, a search is begun for alternatives to improve the situation relative to each identified need. In addition, the cost-effectiveness of each alternative is analyzed. Finally, possible funding sources to support these alternatives are sought. With this information at hand, a decision is made to go ahead with certain alternatives. In some cases this decision may be to plan and operate a new trial program or project.

Planning, then, is a process which assists in the specification of what needs to be accomplished to move toward the fulfillment of the stated goals of the district. That is, school district planning is concerned with the determination of what is to be done in the district.

Proposal

One of the possible outputs of the school district planning process is the decision to plan and operate a project. If information gathered during the planning process indicates that there is a possibility of obtaining funding for a particular activity or project, it is usually necessary to develop a proposal document. Even if funding is not likely, it is still advisable to develop a proposal, since it can serve as a plan for accomplishing the activity or project regardless of where or when the necessary resources are obtained.

A well written proposal document consists of a clearly stated proposed project plan and budget, documentation of the need being addressed by the project, and data supporting the approach indicated by the project.

The documentation and supportive data are, of course, based upon information gathered and analyzed in the school district planning process. A well written proposal document communicates clearly and precisely what a school district wants to accomplish. Thus, in addition to helping a school district obtain funding, a proposal document serves as an initial plan for accomplishing a desired end or goal. This initial plan is usually modified to some extent prior to or during the operation of the proposed project.

Although the format of a proposal document often varies, there are usually three main sections called the Technical Plan, the Management Plan and the Cost Plan (or budget). Details regarding these sections will be discussed in the subsequent lessons of this module.

Project

A project is a complex, goal oriented activity having a finite life span, a cost limit and some uncertainty about the accomplishment of its goal." Goal oriented" means that the activity is aimed toward some identifiable end product or capability. It is characteristic of project activity that this end product or capability be defined or specified in sufficient detail (called "performance specification") so that the outcomes, and a means for assessing the outcomes, are readily apparent to the individuals involved in the project and to individuals monitoring, auditing , and evaluating the project.

Uncertainty is a main characteristic of projects because they are usually a unique or once-through kind of effort, and often there is uncertainty about when, how, and the extent to which the goal will be accomplished. The amount of uncertainty varies from project to project, depending upon factors such as the uniqueness of the effort and the inherent complexity of the overall project task.

Although there is some uncertainty with regard to how the project will proceed, there is usually less uncertainty regarding when it will begin and end. A project has specified start and completion dates. Thus, it has a finite life span and, consequently, can be thought of as a temporary effort.

Finally, the project goal is achieved within a specified cost limit. Project efforts involve the use of resources such as time, people, facilities, materials, equipment and services. These resources are usually translated into dollar amounts in a budget document which specifies the project cost limit that is not to be exceeded.

In summary, a project is a temporary effort with a goal to develop an end product or capability within stated performance specifications, start and completion dates, and a cost limit. There is usually uncertainty about when, how, and the extent to which the goal will be accomplished.

The Project Management Process

The project management process consists of four periods, termed the planning, preparation, operations, and termination phases of a project. The project planning phase includes setting goals for the project; specifying the work to be done with a descriptive flow of the tasks; determining time schedule, cost and manpower needs, and preparing a budget. The preparation phase involves obtaining and organizing personnel, equipment, materials, facilities and information so that the project can be initiated and operated as planned. The operations phase is concerned with the actual conduct or operation of the project. Regardless of the best planning efforts, actual operations do not always go as planned. The project director must have a system or procedure for knowing the status of the project (at all times) so that problem areas can be identified and corrective actions taken. Problem identification, problem

solving, and solution implementation are the primary management activities of the operations phase of a project. Finally, the termination phase includes those activities or efforts dealing with the ending of the project. Such activities include reporting about the project, transferring personnel and equipment, and retaining important records and documents. This phase may focus upon stopping a project in progress, ending a project when its goals have been achieved, or integrating the project activities into an ongoing institutional program upon completion of the project.

Proposal Development Process

The activity of developing a proposal document meets the definition of a project. It is a complex activity and has a goal, finite life span, cost limit, and some uncertainty about the accomplishment of its goal. Efforts to develop proposals, frequently involve staff at various levels (administrators, supervisors, teachers, counselors, students, and sometimes community groups) from several school buildings and offices, each performing a variety of proposal development tasks. Such efforts have as their goal the development of a proposal document (and ultimately the funding of the proposed project). This development is accomplished within a finite period of time, often a few months, and within the bounds set by a fixed amount of resources that have been allocated by the school district or obtained from an external source (e.g., by means of a planning grant). Since much of the work in developing a proposal often involves the planning of a new trial program, there is usually a considerable amount of uncertainty associated with the task.

The effort associated with the development of a proposal document will be referred to as a proposal development project in this module. The management of a proposal development project is similar to the management of any project and, consequently, follows the same four phases of the project management

process--project planning, project preparation, project operation, and project termination. To distinquish between proposal efforts and other project efforts, this instructional package will refer to the four phases as proposal planning, proposal preparation, proposal operations, and proposal termination. Figures 1.2 and 1.3 may help to clarify the relationship between project management and proposal development as presented in this module.

Planning the overall proposal development effort involves such activities as establishing communications with the funding agency, reviewing the Request for Proposal and the outputs from the school district planning process, specifying the work or tasks to be done in order to create the proposal document, and making time and resource estimates for the accomplishment of tasks.

The preparation phase involves identifying individuals to work on the proposal, obtaining release time for the proposal development team, acquiring any necessary facilities and materials, and arranging for the initial meeting of the proposal development team.

The operations phase of the proposal development process is the phase during which the actual proposal document is created. This phase involves developing a detailed plan for the project being proposed, conducting and presenting a technical analysis that supports the approach specified by the project plan, and documenting the school district's need for the project and its capability for implementing it.

The termination phase involves submitting, amending and negotiating the proposal document; writing a brief history of the proposal development effort; and releasing personnel from their responsibilities.

The development of a proposal is a project and, consequently, involves the application of the skills, techniques and procedures of the project management process.

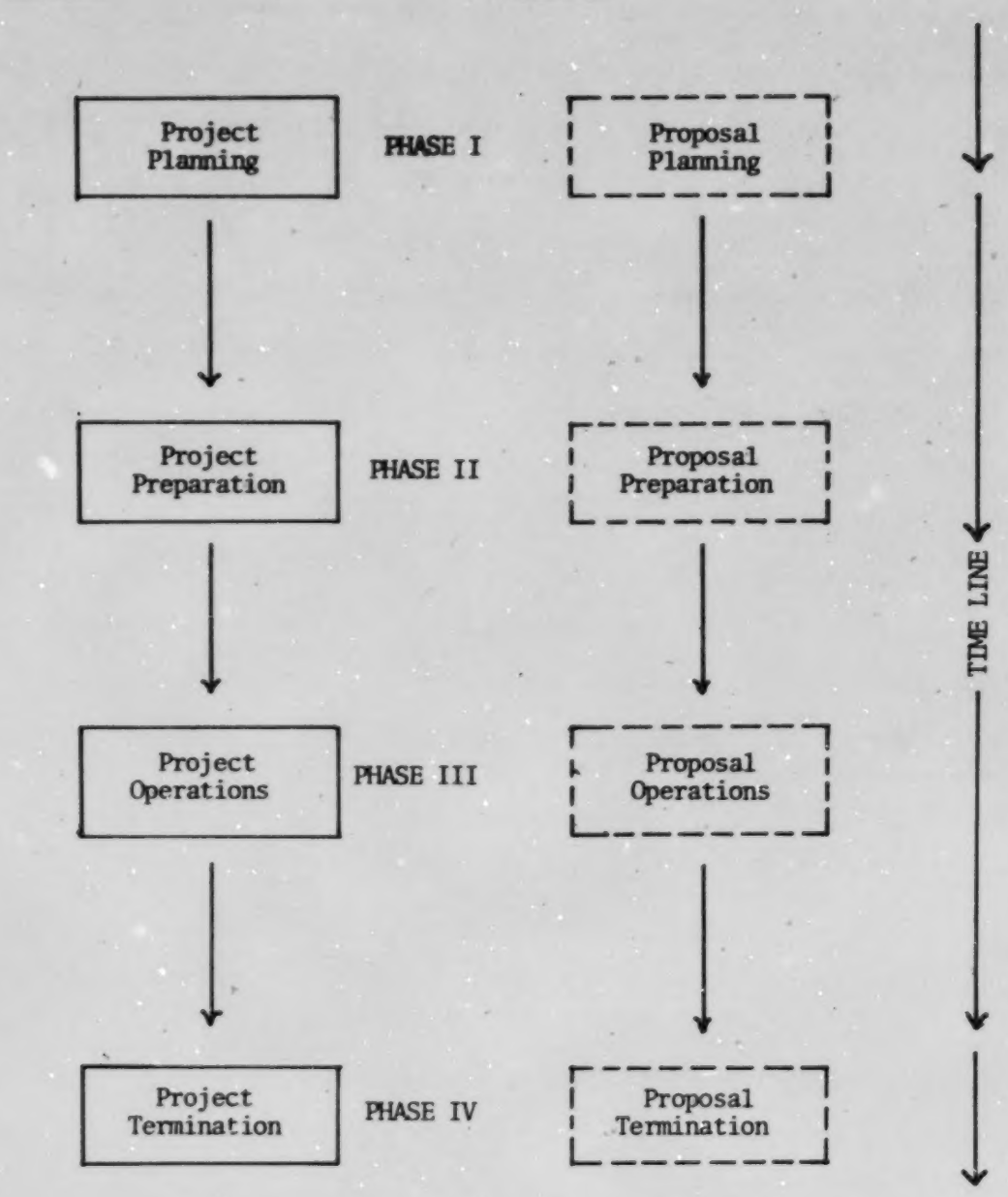


Figure 1.2--The Relationship of the Proposal Development Process and the Project Management Process (General Relationship)

Project Management -- Phases and General Activities	Proposal Development -- Phases and Specific Activities	Module 3 Proposal Development -- Lessons about specific activities
I. Planning the project a. Specify project goal or end-product b. Specify tasks to be accomplished c. Put tasks in order and time schedule d. Determine manpower, cost, and resource needs e. Prepare a budget f. Write a plan for the project	I. Planning the proposal development a. Define the proposal as an end-product b. Specify tasks in producing proposal c. Put tasks in order and time schedule d. Specify persons, resources, and cost of proposal development e. Write budget for proposal development f. Write plan for developing proposal	2 Proposal Planning
II. Preparing to operate the project a. Obtain and organize personnel b. Obtain equipment and facilities c. Set up an information system	II. Preparing to develop the proposal a. Obtain proposal development personnel b. Arrange for equipment and facilities c. Set up initial meeting and information system	3 Proposal Preparation
III. Operating the project a. Monitor status of the project b. Identifying and analyzing problems c. Taking corrective actions	III. Operating the proposal development a. Define proposed project objectives b. Select approach for achieving objectives c. Produce management, cost, and technical sections of proposal d. Prepare the detailed proposal document	4 Proposed Project Goal Definition 5 Proposed Project Approach 6 Proposed Project Support Activities 7 Developing the Detailed Proposal 8 Preparing the Final Proposal Document
IV. Terminating the project a. Reporting about the project results b. Transferring records, personnel, and equipment c. Ending the project or integrating it into the on-going program	IV. Terminating the proposal development a. Submit, amend, and negotiate the proposal b. Write a brief history of the proposal development effort c. Release personnel d. Sort and select records for retention	9 Proposal Termination

Figure 1.3 - The Relationship of the Proposal Development Process and the Project Management Process (Specific Relationships)

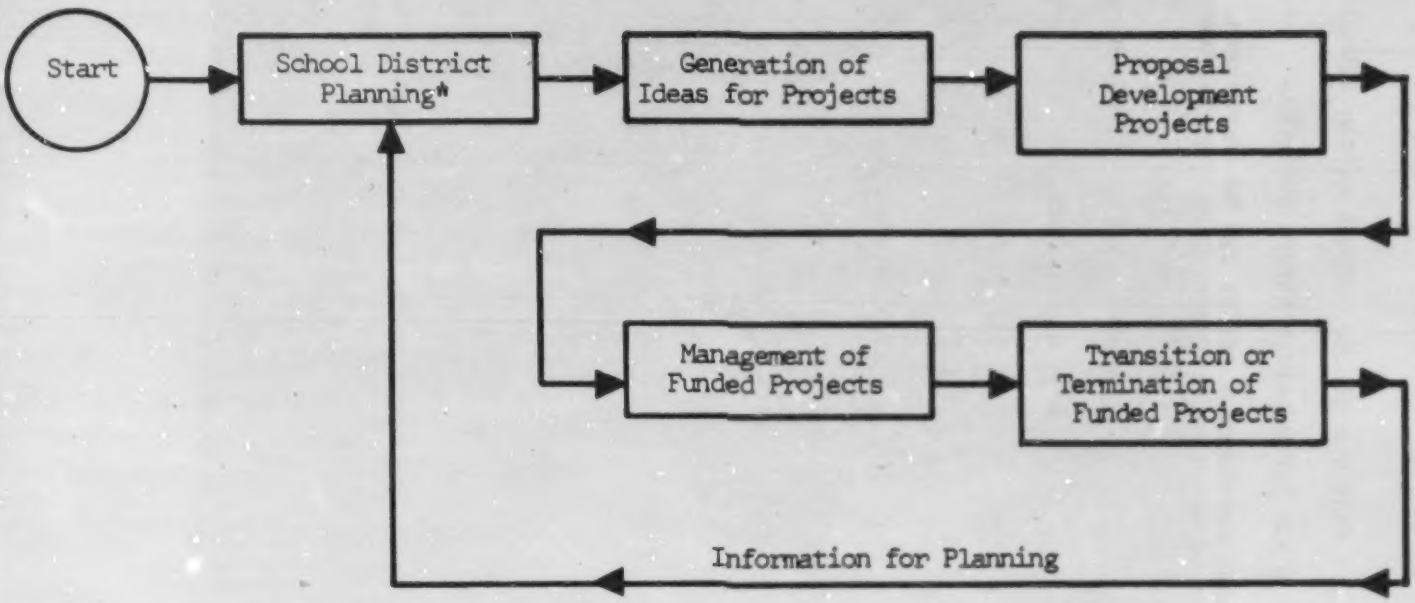
Proposed Project Implementation

Once a proposal is submitted, approved, and funded, the project that was described in it can be started. This project represents the implementation of the plan detailed in the proposal document (with modifications) and serves as one of the means by which the desired end identified in the school district planning process can be reached. The skills, techniques and procedures of project management are utilized in this effort.

When the project ends, as all projects must, a decision must be made regarding whether the project will be phased-out or institutionalized in the form of an ongoing program. The phasing out of a project refers to the smooth termination of all project activities. With large projects it can be a somewhat complicated undertaking. The institutionalization or transition of the results of a project into an ongoing school program can often represent a rather complex project effort, again involving the application of the project management process. Regardless of how a project ends, information regarding its funding, operations, and termination should be fed back into the school planning and needs assessment activities of the school district. This permits school planning decisions to be based upon the most current information regarding student performance and school program operations.

Summary

School district planning, proposal development and project management are three interrelated processes which can be viewed as occuring in a periodic cycle throughout the school year or annually. This is represented in Figure 1.3. For simplicity, these processes are presented in consecutive order. However, all three are often conducted simultaneously.



* School District Planning is an ongoing cyclical process. Information regarding the funding, operations and termination of projects is periodically fed into the process.

Figure 1.4--The School District Planning, Proposal Development and Project Management Cycle

Note in Figure 1.4 that one of the outputs of the school district planning process are ideas for possible future projects. For each of these ideas, a proposal development effort can be undertaken. This proposal development effort is a project itself. The termination of proposal development results in the submission of a proposal document which represents the plan for a proposed project. If the proposal is approved, the proposed project is likely to be funded by a local, state, or federal agency, foundations or other funding agencies, and the project begins. This project eventually reaches an end which usually results in the orderly phaseout of project operations or the transition of the project into an ongoing part of the school program. Information regarding the funding, operation, and termination of the project should be fed back into the school planning needs assessment activities.

Exercise A

Read and answer the questions below. When completed turn the page.

1. Although school district planning is a continuous and complex process, the basic steps of the planning process can be seen as proceeding in a logical fashion. Eight basic steps of the planning process are presented below, out of sequence. Indicate the proper sequence by placing a 1 before the first step, 2 before the second step, and so on.

____The recognition of priority needs

____The cost-effective analysis of all alternatives

____The development of goals and objectives

____The search for funding sources

____The analysis of data

____The search for feasible alternatives

____The collection of goal-related data

____The selection of alternatives

2. The four phases of the project management process can be applied to proposal development. Listed below are a number of proposal development activities and the four phases of a project. Match the activities with the appropriate project phase by placing the number preceding the phase in which the activity occurs in the space beside the activity.

Activities	Phases
____Negotiate proposal	1. Planning Phase
____Develop detailed plan for project	2. Preparation or start-up Phase
____Acquire necessary resources	3. Operational Control Phase
____Plan for initial team meeting	4. Termination or Transition Phase
____Conduct technical analysis	
____Determine cost and manpower needs for proposal development	
____Submit proposal development plan	
____Establish communications with the funding agency	

3. Most school districts are involved in a set of continous activities which can be divided into school district planning, proposal development, and project management. Presented below are various activities associated with one or the other of these three tasks. Identify to which process each activity belongs using the following classification:

   A. School district planning
   B. Proposal development
   C. Project management

_____Prepare responsibility guide

_____Write goals and objectives for a project

_____Implement the project

_____Prepare the budget

_____Search for funding sources

_____Develop the audit plan

_____Hire the project personnel

_____Identify priority needs

_____Supervise the preparation of the final report to the funding agency

_____Do cost-effectiveness analysis of alternatives

_____Develop goals and objectives for the district

_____Submit the proposal document

Exercise A--Solution

The correct answers to the practice exercise are given below. Check your work and then turn the page.

1. Although school district planning is a continuous and complex process, the basic steps of the planning process can be seen as proceeding in a logical fashion. Eight basic steps of the planning process are presented below, out of sequence. Indicate the proper sequence by placing a 1 before the first step, 2 before the second step, and so on.

__4__ The recognition of priority needs

__6__ The cost-effective analysis of all alternatives

__1__ The development of goals and objectives

__8__ The search for funding sources

__3__ The analysis of data

__5__ The search for feasible alternatives

__2__ The collection of goal-related data

__7__ The selection of alternatives

2. The four phases of the project management process can be applied to proposal development. Listed below are a number of proposal development activities and the four phases of a project. Match the appropriate project phase with the activity by placing the number preceding the phase in which the activity occurs in the space beside the activity.

Activities	Phases
__4__ Negotiate proposal	1. Planning Phase
__3__ Develop detailed plan	2. Preparation or start-up Phase
__2__ Acquire necessary resources	3. Operational Control Phase
__2__ Plan for initial team meeting	4. Termination or Transition Phase
__3__ Conduct technical analysis	
__1__ Determine cost and manpower needs for proposal development	
__4__ Submit proposal document	
__1__ Establishing communications with the funding agency	

3. Most school districts are involved in a set of continous activities which can be divided into school district planning, proposal development, and project management. Presented below are various activities associated with one or the other of these three tasks. Identify to which process each activity belongs using the following classification:

   A. School district planning
   B. Proposal development
   C. Project management

C Prepare responsibility guide

B Write goals and objectives for the project

C Implement the project

B Prepare the budget

A Search for funding sources

B Develop the audit plan

C Hire the project personnel

A Identify priority needs

C Supervise the preparation of the final report to the funding agency

A Do cost-effectiveness analysis of alternatives

A Develop goals and objectives

B Submit the proposal document

Directions and Choices Following the Practice Exercises

Based upon the self-evaluation of your performance on the exercises you have either

A. acceptably satisfied the objective of defining the concept of the proposal development process and describing its relationship to school district planning and project management, and should now turn to the post-test found on page 26

References for additional reading are listed on page 16 of the Module Manual.

B. not satisfied the objective, and should read the section in the Lesson Text that deals with the topic of the Exercise Queston which you did not solve satisfactorily and then rework that portion of the Exercise.

Post-Test

Directions: Please take time to answer carefully the multiple choice and true/false questions given below. For the multiple choice questions you are to circle one correct or best answer (A,B,C or D) and for the true and false you are to indicate the correct response with the letter T or F.

1. In which phase of the project management process are personnel organized to achieve tasks?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

2. When is the search for funding agencies usually undertaken in the school district planning process?

   A. Prior to the development of a list of school district priority needs.
   B. After program alternatives have been evaluated for cost-effectiveness.
   C. After the list of school district priorities has been developed.

3. What phase of the proposal development process normally includes the actual writing of the proposal?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

4. When is a priority list of needs usually generated in the school district planning process?

   A. After funding sources have been identified.
   B. Immediately prior to the identification of funding sources.
   C. Usually after needs assessment data have been collected relative to school district goals.
   D. School district planning is a continuous process and therefore a list of priorities can be identified at any stage of the school district planning process.

5. What statements would most accurately describe a project?

   A. A project is a complex goal-oriented activity which has a finite life span, a cost limit and uncertainty about the accomplishment of its goal.
   B. A project is a plan to achieve a goal.
   C. A project is an activity scheduled to reach a goal at a specific time.
   D. A project is an activity that does not have specified start and completion dates but does have a goal and a budget.

6. In which phase of the project management process does budget preparation occur?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

7. What phase of the project management process usually involves the acquisition of work facilities?

   A. Planning
   B. Preparation
   C. Operation
   D. Termination

Indicate whether the statements listed below are true or false by writing a T or F on the line.

8. ___ The decision of a school district to operate a project is one possible output of school district planning.

9. ___ The management of a proposal development effort is similar to the management of any project.

10. ___ While the specific format of a proposal may vary among funding agencies, most proposal documents include a Technical Plan, a Management Plan, and a Cost Plan.

Turn the page and check your answers

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 1 Post-Test are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of proposal development and its relationship to school planning and project management. You should select one of the following courses of action.

1. *Read the lesson text beginning on page 9.*
2. *Rework the lesson post-test.*

Directions : If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal development and its relationship to school planning and project management. References for additional reading are listed on page 16 of the Module Manual.

Multiple Choice

1. A (B) C D
2. A (B) C
3. A B (C) D
4. A B (C) D
5. (A) B C D
6. (A) B C D
7. A (B) C D

True/False

8. T
9. T
10. T

Number Correct = _____

Termination Instructions

This lesson on Proposal Development and Its Relationship to School District Planning and Project Management is now completed.

Lesson 2 entitled "Proposal Planning" is the next lesson in the sequence.

Lesson 2

Proposal Planning

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The Ohio State University

May 1974

EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 2

Proposal Planning

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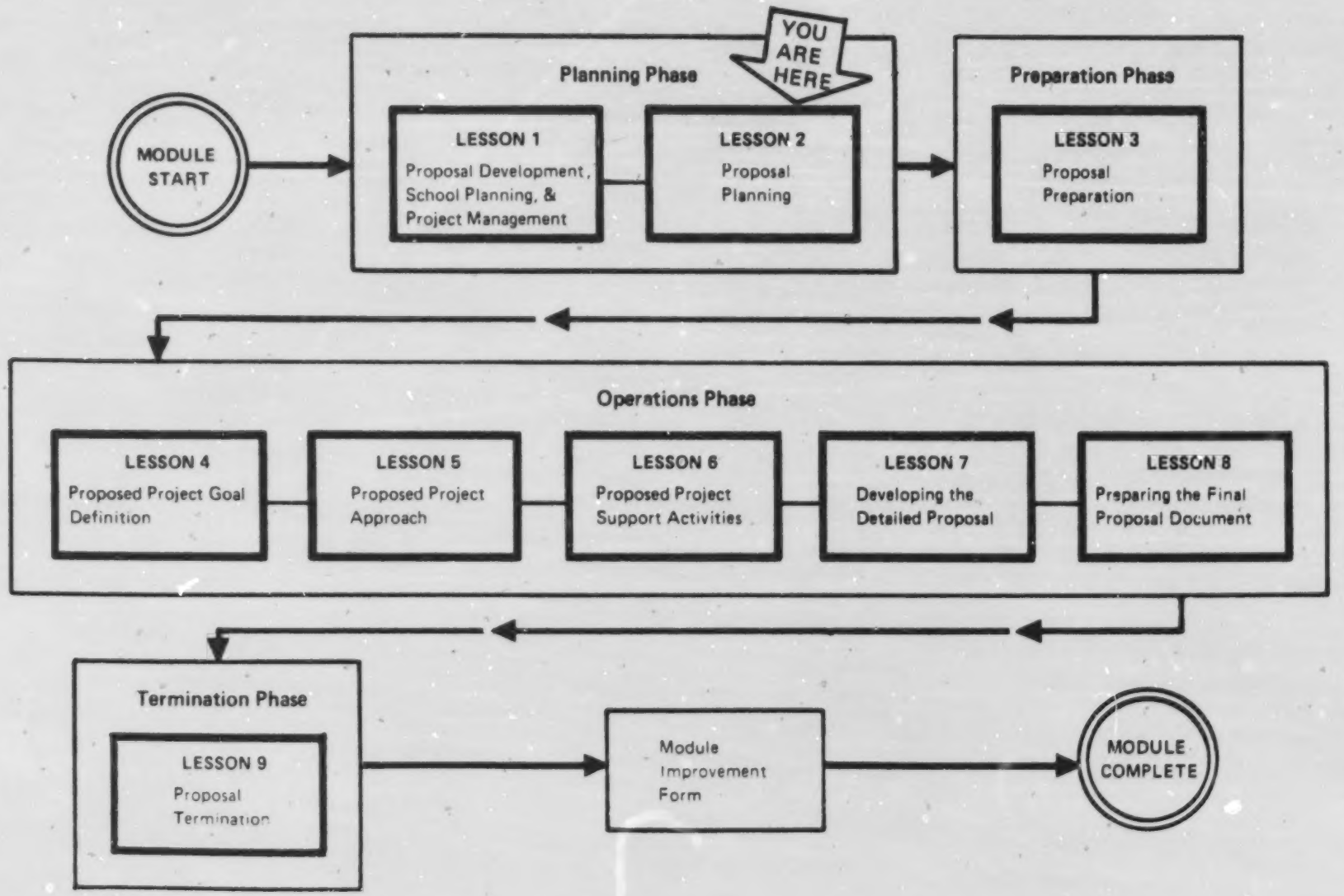
Introduction to Lesson

This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

	Page
Booklet containing the following items.	
Introduction to lesson	1
Overview and objectives	3
Pretest	4
Lesson abstract and content outline	7
Lesson text	9
Practice exercise	21
Post-test	34

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

In the preceding lesson the reader was oriented to proposal development through the concept of the project management process and the definition of certain key terms.

This lesson applies the planning phase of the project management process to proposal development. The text details essential steps and concepts necessary to produce a 5-10 page plan for the development of the proposal document.

In the next lesson the second phase of the project management process, preparation, is applied to proposal development. It describes activities to be carried out in preparing for the actual production of the proposal document.

OBJECTIVES

The student, in completing this lesson, should be able to develop a plan for a proposal development project. The specific objectives of the lesson are as follows:

1. For a proposal development project the student should be able to do the following:
   a. create a work breakdown structure
   b. create a work flow diagram
   c. estimate task completion times and the time for completion of the entire project
   d. estimate and schedule resources
   e. estimate costs and prepare a budget
2. The student should be able to state why it is important to have proposal development plan formally approved.

Pretest

Directions: Please take time to answer carefully the multiple choice and true/false questions given below. For the multiple choice questions you are to circle one correct or best answer (A,B,C, or D), and for the true and false you are to indicate the correct response with the letter T or F.

1. What is the chief product of the proposal definition activity?

   A. Detailed project schedule
   B. Work breakdown structure
   C. Project work flow
   D. Evaluation plan

2. Who is probably the most significant person in determining the success or failure of a project?

   A. Project Manager
   B. Project Evaluator
   C. Project Finance Officer
   D. Project Auditor

3. What general relationship exists between scheduling and work flow?

   A. Scheduling provides the constraints necessary for work flow development.
   B. The development of a project work flow and schedule occur simultaneously.
   C. Work flow provides the framework for scheduling.
   D. Scheduling is a more complex activity than the specification of project work flow.

4. What part of the proposal planning phase is concerned with determining the type and number of personnel required to complete the project effort?

   A. Proposal definition
   B. Scheduling
   C. Budget considerations
   D. Resource estimation

Indicate whether the statements listed below are true or false by writing a T or F on the line.

5. ____ The costs of the proposal development effort should not be summarized in a typical line item budget because the line item budget has an input orientation.

6. ____ An essential part of the Project Cost Plan is the identification of resource needs for the project.

7. ____ Informal communication between the proposal director and the funding agency should be kept to a minimum because the funding agency provides all necessary guidelines in the Request for Proposal document.

8. ____ A proposal director should be selected as soon as possible after the decision has been made to develop a proposal.

9. ____ After securing approval for the proposal development plan, the project moves into the proposal preparation phase.

10. ____ Resource estimation can be facilitated by using the lists of tasks in the work breakdown structure for proposal development.

Turn the page and check your answers.

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 2 Pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of proposal planning and should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation by turning to the lesson text on page 9.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal planning and should read the lesson abstract and content outline on page 7. Then, if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 22. If you desire to read the content presentation, turn to the lesson text on page 9.

Multiple Choice

1. A (B) C D
2. (A) B C D
3. A B (C) D
4. A B C (D)

True/False

5. F
6. F
7. F
8. T
9. T
10. T

Number Correct= _____

Lesson Abstract and Content Outline

ABSTRACT

Proposal planning is the first phase in the proposal development process. The proposal director is responsible for completing the proposal planning activities. These activities include developing a work breakdown structure, creating a work flow diagram, working task time estimates and a schedule, estimating and scheduling resources, and preparing a budget for the proposal development effort. The end product of this phase is a 5 to 10 page approved, written plan for developing the proposal document.

CONTENT OUTLINE

A. The proposal director is responsible for creating a 5-10 page written plan for the development of the proposal document. The plan should include:

   1. A definition of the project,

   2. Work breakdown structure,

   3. Work flow with time estimates,

   4. Estimate of resources needed for the proposal development effort or project.

B. A proposal director must be selected to manage the development of the proposal document.

   1. Studies have shown the director to be the most critical element in the success of any project effort.

   2. Ideally, the proposal director should be chosen to manage the proposed project once it is funded due to his knowledge of and commitment to the project.

C. A proposal definition is prepared containing information on vital questions:

   1. Project purpose,

   2. Goals and objectives,

3. Limitation and constraints,

4. Size and complexity,

5. Staff and resources.

D. Important sources of such information include: funding agency personnel, the "Request for a Proposal", unofficial queries, local school district planning offices and files.

E. The work breakdown structure specifies the major tasks necessary in a particular proposal development effort.

F. A work flow diagram places the items in the work breakdown structure in relation to each other.

1. Time estimates should be made for the completion of each task listed.

2. Calendar dates can now be applied.

G. Resource estimation specifies the types and amounts of resources needed, including consultants, typists, consumable materials and supplies. Classifying resources into categories (personnel, equipment, materials, services, and travel), is helpful.

H. A budget determines the dollar amount necessary for the needed resources, summarized in a line item budget.

I. The proposal director should secure formal approval of the proposal development plan before moving into the proposal preparation phase.

Lesson Text

Introduction

As discussed in the previous lesson, the proposal development process consists of four phases, called proposal planning, proposal preparation, proposal operations, and proposal termination. This lesson is concerned with the first of these phases--the proposal planning phase.

Planning the development of a proposal involves such activities as specifying the tasks to be done, estimating the needed resources, determining the schedule for completion of the various tasks, and estimating the dollar costs involved in the effort. The output or end product of the proposal planning phase is a brief written plan of about 5-10 pages designed to guide the development of the proposal. It will describe the tasks to be done and specify the order in which they will be accomplished, the people who will perform them, and the resources that are needed.

The Proposal Director

Once the decision has been made to develop a proposal document, someone must be selected to manage the effort. The title of this person who is given responsibility for development of the proposal varies. Often he may carry the title of Director (or Coordinator) of Projects, Assistant Superintendent for Instruction, Curriculum Supervisor, or Director (or Assistant Superintendent) for Federal (and/or Special) Projects. This person, designated as the manager or director of the proposal development project, will be referred to as the proposal director in this module.

The selection of the proposal director should be made at the time (or soon after) the decision to develop a proposal is made. It is the proposal director who initiates the proposal development project by performing the proposal development planning activities. That is, planning for proposal development is typically a one-man process carried out by the proposal director.

Care should be taken in the selection of the proposal director. Studies have indicated that probably the most important factor in determining the success or failure of a project is the performance of the project director. Also, there are indications that the extent of the proposal development activity in a school district is dependent upon the aggressiveness, or lack of it, of one individual--the person given overall responsibility for the development of proposals. Thus, the proposal director is the most critical element in the proposal development process.

In addition to managing the proposal development project, the proposal director should ideally also manage the <u>proposed project</u> after it is approved and funded. A school district benefits considerably by selecting the proposal director to manage the proposed project, since he will almost certainly be highly committed to the project and be more familiar with it than anyone else in the district.

<u>Proposal Definition</u>

In order to prepare a proposal definition, it is necessary to acquire some general information about the nature of the proposed project, including any procedural or budgetary limitations or constraints that may be placed

upon the project. Data must be gathered to answer questions such as: "What is the proposed project going to do? What school goals or objectives is it aimed at? What general limitations or constraints are to be placed upon the project? How large and complex will the project be? Will it require a large staff and many resources?"

Information must also be gathered regarding constraints on the proposal development effort itself. Questions that must be answered are: "Who are the likely funding sources to which the proposal will be submitted? What guidelines or specifications for the preparation, format and submission of the proposal do these funding sources have? How much time is available for the development of the proposal?"

It is the responsibility of the proposal director to identify sources of information regarding constraints upon both the proposed project and the proposal and to gather the needed information.

Sources of information can be many and varied. The proposal director may want to talk with people at the funding agency. If the proposal is done at the request of an outside agency, such as the U.S. Office of Education, the Request for a Proposal (RFP) may place specific requirements or guidelines upon the project and the proposal. Not all of these guidelines will be expressed formally. Some will have to be obtained through informal, unofficial communication with the funding agency. For example, a limit will be expressed on the amount of money a proposal may request. Small project grants may often have an outside limitation of, say, $10,000. In other cases, no funding limitation may be expressed and the proposal developer will have to use experience, judgement, and informal communication to find out that he can get funding of $20,000 for a given project, but not $30,000.

The local school system is an important source of information. If the school system has an office that deals specifically with the management of projects, that office can probably provide a wide range of information. Even without such an office, chances are that the school system maintains a file of proposals that can be used for reference. Local school personnel, particularly those who will be involved in the work of the project, should be contacted. Teachers in the area of concern addressed by the project can provide information which will help to specify the nature of the project. Also, valuable information can often be obtained from the school district planning office or the assistant superintendent of instruction. After you have obtained the information necessary to answer such questions as those stated above, you are ready to define the proposal to be developed.

Proposal definition is a process of specifying the missions (major task groupings) which will be undertaken to produce a proposal document, and the tasks necessary to accomplish the missions. The end product of the definition phase is referred to as the work breakdown structure (WBS).

The proposal director should develop the work breakdown structure to meet the unique conditions of the particular proposal development effort.* There are, however, many missions, tasks, and subtasks that are common to most proposal development projects. These missions and tasks are presented in Figure 2.1 in the form of a sample work breakdown structure for proposal development.

---

*If you feel you need some review of how to do a work breakdown structure, work flow and time estimation, resource estimation and budgeting, you might want to refer to Lesson 2-6 on these topics contained in Module 2 of the EPMIS series, Basic Principles and Techniques of Project Management.

Figure 2.1--Sample Work Breakdown Structure for Proposal Development

1.00 Develop Technical Plan	1.10 Specify Goal and Objectives	
	1.20 Specify Project Approach	1.21 Gather Information
		1.22 Analyze Information
		1.23 Synthesize Information
		1.24 Select Best Approach
	1.30 Plan Project Support Activities	1.31 Develop Evaluation Plan
		1.32 Initiate Audit Activities
		1.33 Develop Dissemination Plan
		1.34 Plan Community Involvement
2.00 Develop Management Plan	2.10 Develop Project Work Breakdown Structure	
	2.20 Develop Detailed Work Flow	
	2.30 Develop Detailed Schedule	
	2.40 Specify Resources	
3.00 Develop Cost Plan	3.10 Estimate Cost	
	3.20 Prepare Bulget Documents	
4.00 Prepare Final Document	4.10 Prepare Abstract	
	4.20 Prepare Assurances Section	
	4.30 Prepare Target Population Section	
	4.40 Prepare Community/School/Personnel Descriptions	
	4.50 Edit and Format Document	
	4.60 Arrange Final Reviews, Clearance and Approvals	
5.00 Terminate Proposal Development	5.10 Submit Proposal Document	
	5.20 Negotiate Proposal and Contractual Arrangements	
	5.30 Write History and Store Records	

The missions of a typical proposal effort are the development of the Technical Plan, Management Plan, and Cost Plan; preparation of the final Document; and the Termination of the proposal development effort.

The development of the Technical Plan is primarily concerned with specifying the proposed project goal and objectives; gathering, analyzing and synthesizing information in order to specify the "best" approach for achieving the project objectives; and planning such project support activities as evaluation, auditing, dissemination, and community involvement.

The development of the Management Plan involves developing the work breakdown structure, detailed work flow, and time schedule, and specifying resource needs for the proposed project.

The development of the Cost Plan involves estimating the dollar cost of the needed project resources and summarizing the costs in both a typical line item budget and in terms of the cost of each project mission or major task.

Preparation of the Final Document involves writing a project abstract, assurances section, target population section, and community, school, and personnel descriptions. This phase also involves editing and formatting the final document; and arranging for final reviews, clearances, approvals, and signatures.

The termination of the proposal development project involves submitting the proposal document to funding agencies, negotiating the proposal and contractual arrangements, writing a brief history of the proposal development effort, and storing important records.

Specific kinds of proposals may require the performance of proposal development tasks or the creation of proposal sections other than those described above. Two examples may help to show some of these variations.

For a proposal which seeks to develop a product such as an instructional system, curriculum, or set of visual aids, the proposal director may have to include in his plan a means of writing proposal sections on topics such as:

1. Reasons for creating the product,
2. A detailed description of the project,
3. The performance criteria or standards which the product will have to satisfy,
4. The target population for which the product is intended,
5. What special equipment and production techniques might be used.

Still another proposal might seek to install an already developed curriculum or other product into a school district. In this case, the proposal director will need to consider including sections on:

1. A training program whereby teachers and administrators will be trained to utilize the new curriculum properly,
2. A delineation of strategies for installing the curriculum,
3. The target population for which the curriculum was designed, who is included in it, and why it was chosen.

It is important to note that in the proposal planning phase, the proposal director is not actually writing all these sections of a proposal or doing the tasks needed to complete the final proposal. He is deciding what tasks need to be done to complete the proposal, how and when these will be done, who will perform them, and what resources will be needed.

Work Flow, Time Estimation and Scheduling

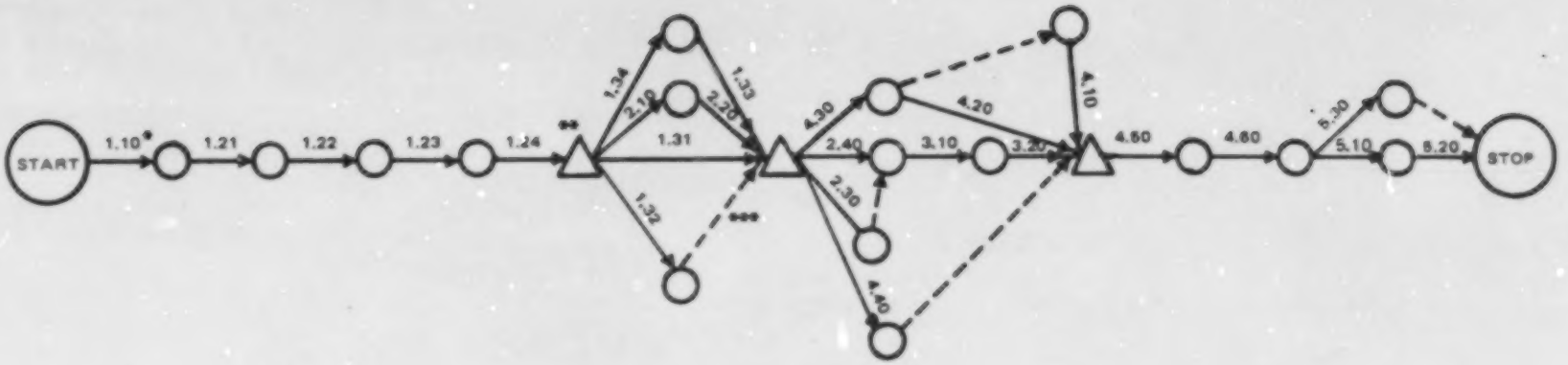
Having made a work breakdown structure showing all the items that need

to be accomplished, the proposal director can then proceed to place them in relationship to each other by creating a work flow diagram. The work flow diagram will show which tasks or proposal sections use the results of previous ones and which tasks can be performed simultaneously. An example of a possible work flow diagram resulting from the work breakdown structure shown in Figure 2.1 is presented in Figure 2.2.

After making a work flow diagram of the tasks to be accomplished in developing the proposal, time estimates should be made for the completion of each task. Individual task times are then summed along all possible paths of the work flow diagram. The path with the highest total time is called the critical path. The critical path time is the time for the completion of the proposal development project. It is possible that this time may be longer than the time remaining before the deadline date for submitting the proposal document to the funding agency. If this happens, the work flow can often be rearranged so that more tasks are done simultaneously, rather than one after another, or more people may be assigned to particular tasks along the critical path of the work flow in order to shorten their completion time. When the work flow and time estimates are finalized, calendar dates can be applied to the start and finish of each proposal development task.

Resource Estimation

After the work breakdown structure, work flow, time estimates and schedule for developing the proposal have been completed, the type and amounts of resources needed must be specified. Questions such as those that follow must be answered. Will consultants be needed? What expenses are



TASK NUMBERS AND DESCRIPTIONS

Task Number	Task Description	Task Number	Task Description
1.10	Specify project goal and objectives	3.10	Estimate cost
1.21	Gather information	3.20	Prepare budget documents
1.22	Analyze information	4.10	Prepare abstract
1.23	Synthesize information	4.20	Prepare assurances sections
1.24	Select best approach	4.30	Prepare target population section
1.31	Develop evaluation plan	4.40	Prepare community/school/personnel description
1.32	Initiate audit activities		
1.33	Develop dissemination plan	4.50	Edit & format proposal document
1.34	Plan community involvement	4.60	Arrange final reviews, clearances, approvals and signatures
2.10	Develop work breakdown structure		
2.20	Develop detailed work flow	5.10	Submit proposal document
2.30	Develop detailed schedule	5.20	Negotiate proposal and contractual arrangements
2.40	Specify resources		
		5.30	Write history and store records

* The task or activity numbers correspond with the task numbers in the work breakdown structure appearing in Figure 2.1.

** The triangle represents a milestone event (i.e., the completion of a major piece of work or the achievement of a project objective).

*** The dotted line represents a dummy activity (i.e., a constraint upon the completion of an event). It does not consume time or resources.

Figure 2.2--Sample Work Flow Diagram for a Proposal Development Project

associated with them? Will a typist have to be hired? What consumable materials and supplies are needed? Resource estimation can be facilitated by grouping resource items into categories of personnel, equipment, materials and supplies, services and travel.

The estimation of personnel resources may be the most complex decision. Not only does the proposal director have to decide what kinds of personnel will be needed for the proposal development, but he also has to see if he can make arrangements within his organization for work time. Otherwise, he will have to hire new people. The length of time each person will be needed and whether to hire full-time or part-time help must also be specified.

Perhaps the easiest way to organize the resource estimation task is to use the list of tasks in the work breakdown structure for the proposal development. You can go through the items one-by-one and decide what resource categories of personnel, equipment, materials, services, and travel will prove helpful in making sure that all the resources required for each task have been specified.

It is also important to look at the work flow diagram and determine what equipment and materials might be shared by different tasks. Only then can an accurate estimate of the amount of resources needed for the overall development project be made.

Budget Considerations

Once the resources have been determined, the cost or dollar amount associated with each must be determined. Of course, some resources may not have a cost that is charged to the proposal development effort. Often school

personnel may participate in the proposal development effort as an activity performed in addition to their regular job without receiving extra pay. Determining the costs associated with different resource items may require some checking with other organizations that have already developed similar proposals or with the finance director or business manager of the school district.

When all costs have been determined, they should be summarized in a typical line item budget. It is also advantageous for the proposal director to develop a "program" or "objective"-referenced budget. Such a budget, with cost data summarized by mission or major task, can be helpful in attempting to secure local funds for the proposal effort or in trying to control costs during the operation of the proposal development project.

Approval of Proposal Plan

The development of a proposal document often involves the contribution of the time and effort of many persons within the school district. Released time may have to be obtained for some staff members. Persons such as consultants and typists may have to be hired from outside the district. Since the proposal development effort involves such time, money, and other resource commitments, the proposal director should secure formal approval of the proposal development plan from the superintendent or other appropriate offices. Once the plan is approved, the proposal development project moves into the Proposal Preparation Phase.

Summary

At the finish of the planning phase of the proposal development process,

the proposal director has written a 5-10 page plan for developing the proposal which includes the work breakdown structure, a work flow with time estimates, and an estimate of the resources and money needed to prepare the proposal. If necessary, the plan can be submitted to appropriate offices within the school system for approval. Once this plan is completed and approved, the proposal director can proceed to the next phase, that of preparing for proposal development.

Exercise Setting

Directions: On the following pages is the setting for the exercises for Lesson 2. It introduces a school system and sets up a situation where a proposal will be developed. The exercises which follow ask you to perform various activities with respect to planning the development of the proposal.

Read the setting and then turn to Exercise A and begin to work.

General Setting for Exercise A

The school district of Harrison, a chiefly middle-class suburb of about 250,000 residents, built a new middle school about three years ago which was designed to incorporate a number of innovations. Sanders Middle School was built on an open-space plan with few interior walls. It houses about 400 students in the sixth, seventh and eighth grades. The building is fully carpeted and air-conditioned. Teachers are organized into teaching teams of four or five members each by general subject areas of math, science, social studies , and English. Visiting teachers handle instruction in music, art, and foreign language.

The teams can instruct a large group of about 100 students at a time while covering basic information on a topic. The large group can be divided into middle-sized groups of about 20-25 students each for further instruction. Sometimes students who have special difficulties or who are working on individual projects can be placed in even smaller groups of five to ten students, so that they may receive more specialized, individualized help from the teacher. In fact, the present trend of all teaching teams in the past three years has been toward the more specialized individualized mode of instruction.

The math team has been especially interested in individualizing instruction in its subject area. Some of the reasons for this are:

1. Instruction in their area has not been individualized to the extent that it has been by other teams. This is partly because the math team had little experience in such teaching and has tended to gravitate toward more traditional large-group instruction.
2. There has also been a lack of materials available for such instruction in math; teachers have found it difficult to use current texts in an

individualized situation.

3. Student attitude toward math is generally poor. A survey conducted by the Evaluation and Research Office indicated that students were not interested in math and liked most other subjects better.
4. Students at the school were somewhat below average in math achievement as tested by the Iowa Test of Basic Skills. While the difference was not large, the team (and some parents) felt the students should be doing considerably better.
5. The team was also aware from daily observations that many students had individual problems needing attention, but these students were not being helped. The wide variation in students' needs might be helped by individualized instruction.
6. Unlike the math team, other teams at Sanders Middle School provided much in the way of individual study projects for the brighter students. For example, bright students can do papers for English, Social Studies, or Science, but the activity of writing papers in the area of mathematics is very difficult. Many of the bright student who tried to write mathematics papers became bored with the activity.

To solve this problem, the math team conferred with the school's principal and the school system's math curriculum director, and established a study committee to find ways of implementing individualized instruction in mathematics. The study committee conducted interviews with principals and teachers in other districts who had individualized instruction programs in mathematics to gain an understanding of individualized instruction in mathematics and potential problem areas. The committee also examined the kinds of materials available from publishers and other developers which could be

used in the individualized instruction mode.

After this investigation, the committee recommended implementing the Individually Prescribed Instruction (IPI) program in mathematics developed by Research for Better Schools, a regional educational laboratory located in Philadelphia. The program includes an extensive set of instructional materials and teacher training manuals. It was the opinion of the committee that the IPI program was the best individualized math program available for their school.

Implementing IPI involves purchasing materials, training teachers and aides, hiring additional aides, and other activities which require the expenditure of funds. Fortunately, the school board is usually willing to make available grants of up to $20,000 for pilot projects such as curriculum innovation, if it appears that the project will be of value to other schools in the district as well. The mathematics curriculum director has expressed a strong interest in expanding individualized math instruction to other schools in the district and wishes to implement the IPI math program in Sanders Middle School. In order to obtain money for the effort a proposal must be developed for submission to, and approval by, the board.

To this end, the math curriculum director, along with the leader of the math team from Sanders Middle School, has contacted the Harrison School District's Project Management Office (PMO). For the purposes of the exercises in the remainder of this module, you are to assume that you are a professional in this office and that the director of the PMO has assigned you the responsibility of providing assistance to a proposal team headed by the math people.

Exercise A

Directions: For this exercise, you are to assume the role of assistant to the proposal development team as indicated in the exercise setting. The team has requested your aid in constructing the work breakdown structure (WBS) for the proposal development effort. Assume that the four Level I tasks of the WBS are as follows: A. Develop Technical Plan, B. Develop Management Plan, C. Develop Cost Plan, D. Prepare Proposal Document and Terminate Effort. Listed below are a number of Level II items which you are to include under the appropriate Level I tasks by placing the letter for the most appropriate Level I task on the space provided beside the Level II task. When completed, turn the page.

Level I Tasks

A. Develop Technical Plan

B. Develop Management Plan

C. Develop Cost Plan

D. Prepare Proposal Document and Terminate Effort

Level II Sub-Task

_____ 1. Develop Project Work Breakdown Structure

_____ 2. Write Abstract and Assurances

_____ 3. Store Proposal Development Records

_____ 4. Specify Project Goals and Objectives

_____ 5. Prepare Project Budget Document

_____ 6. Edit and Format Proposal Document

_____ 7. Select Project Approach

_____ 8. Develop Project Work Flow

_____ 9. Develop Project Evaluation Plan

_____ 10. Negotiate Proposal

_____ 11. Develop Project Community Involvement Plan

_____ 12. Specify Project Resources

_____ 13. Begin Project Audit

_____ 14. Develop Project Schedule

_____ 15. Develop Project Dissemination Plan

Exercise A--Solution

Directions: The answers to the practice exercise are given below. Check your work and turn the page when finished.

Level I Tasks

A. Develop Technical Plan

B. Develop Management Plan

C. Develop Cost Plan

D. Prepare Proposal Document and Terminate Effort

Level II Sub-Task

B	1.	Develop Project Work Breakdown Structure	A	9.	Develop Project Evaluation Plan
D	2.	Write Abstract and Assurances	D	10.	Negotiate Proposal
D	3.	Store Proposal Development Records	A	11.	Develop Project Community Involvement Plan
A	4.	Specify Project Goals and Objectives	B	12.	Specify Project Resources
C	5.	Prepare Project Budget Document	A	13.	Begin Project Audit
D	6.	Edit and Format Proposal Document	B	14.	Develop Project Schedule
A	7.	Select Project Approach	A	15.	Develop Project Dissemination Plan
B	8.	Develop Project Work Flow			

Exercise B

A work flow diagram which exhibits along a time line the tasks listed in the work breakdown structure has been developed. The critical path time has been computed and it has been found that the time to complete the proposal project extends one week beyond the deadline for submitting the proposal. Do you think this is a problem which requires the attention of the proposal director? If you do not, space has been provided below for you to state your reasons.

Reasons for not considering the week time delay a problem: _____

_____

_____

_____

If you would consider the delay a problem, rank the suggested solutions listed below in the order in which you would choose to implement them. For purposes of choosing a solution, accept the premise that the time lag was analyzed as being caused by unstructured ambiguous tasks. Space has been provided for additional solutions.

____1. Wait until the next deadline to submit the proposal.

____2. Assign more people to particular tasks in order to shorten their completion time.

____3. Delete some tasks which could possibly be completed after the proposal is submitted.

____4. Request an extension of the deadline date from the funding agency.

____5. Rearrange the work flow so that more tasks may be done simultaneously.

____6. Reexamine the nature of the ambiguous tasks to see if they could be better defined and thus provide better time estimates.

____7. Take no action; accept a risk that the project will end on time.

____8. Arbitrarily cut one day from each task since time estimates are probably inflated anyway.

____9. Other: _____

Exercise B--Solution

Whether or not you would consider the one week time lag a problem needing the proposal director's attention would depend on the total amount of time allotted for the proposal development project. In a one-month project, one week becomes critical. If, however, the proposal development effort has been allocated six months for completion, a potential one week delay might work itself out by the deadline date since some tasks might be finished earlier than expected.

The order in which you ranked the possible solutions depends upon the criterion you employed to make your decisions. For example, if one of your criteria was resource availability, you could not assign more people to each task (#2) if only limited personnel are available. It might be impossible to wait until the next deadline date (#1) because of the consequences of delaying beginning the project. The fourth suggestion, requesting an extension, might be a viable solution as long as the funding agency knows the proposal is on its way and has agreed to accept it late.

No matter which decision you make, including taking no action (#7), it is imperative to consider the consequences of your choice. Your action may alleviate the problem for now, but damage the prospects of a successful proposal project because of the long range consequences of the decision.

Lesson 2--Proposal Planning

Exercise C--Part 1

As director of the proposal development effort, you must estimate resources needed to complete this effort. In the spaces below, list the broad resource categories which must be considered. Then turn the page and **check** *your answer.*

1. _____

2. _____

3. _____

4. _____

5. _____

Exercise C--Part 1--Solution

As director of the proposal development effort, you must estimate resources needed to complete this effort. In the spaces provided below, list the broad resource categories which must be considered.

1. Personnel
2. Equipment and Facilities
3. Materials and Supplies
4. Services
5. Travel

Exercise C--Part 2

Assume you have been given the assignment of estimating the resources needed to complete the proposal development effort. Identify for each category one or more individual items or elements needed in order to accomplish the proposal project. For example, "typewriter" might be listed under Equipment and Facilities.

I. Personnel

II. Equipment and Facilities

III. Materials and Supplies

IV. Services

V. Travel

Exercise C--Part 2--Solution

There is no one correct solution to this exercise. The resources listed would depend on each individual project. It is important, however, to take into consideration all items needed to accomplish each task. In doing so, decide which of the personnel must be hired and which will be asked to participate in the effort under a released time agreement or in addition to their regular duties. Equipment needs should be checked to see if sharing with another project is possible. Materials and supplies might be provided by the school district.

I. Personnel
- *Proposal director*
- *Subject area specialist*
- *Evaluation consultant*
- *Technical writer*

II. Equipment and Facilities
- *Typewriter*
- *Dictating machine*
- *Calculator*

III. Materials and Supplies
- *Office supplies*
- *Draftsman's tools*

IV. Services
- *Duplicating*
- *Statistical*
- *Computer*

V. Travel
- *Trip for proposal director to funding agency*
- *Consultant travel to project site*

Directions and Choices Following the Practice Exercises

Based upon the self-evaluation of your performance on the exercises, you have either:

A. acceptably satisfied the objective of creating a proposal development plan, and should turn to the post-test found on page 34

References for additional reading are listed on page 16 of the Module Manual.

B. not satisfied the objective, and should read the lesson text text beginning on page 9 and then rework any exercise you did not solve satisfactorily.

Post-Test

Directions: Please take time to answer carefully the multiple choice and true/false questions given below. For the multiple choice questions you are to circle one correct or best answer (A,B,C, or D), and for the true and false you are to indicate the correct response with the letter T or F.

1. Who is probably the most significant person in determining the success or failure of a project?

   A. Project Manager
   B. Project Evaluator
   C. Project Finance Officer
   D. Project Auditor

2. What general relationship exists between scheduling and work flow?

   A. Scheduling provides the constraints necessary for work flow development.
   B. The development of a project work flow and schedule occur simultaneously.
   C. Work flow provides the framework for scheduling.
   D. Scheduling is a more complex activity than the specification of project work flow.

3. What part of the proposal planning phase is concerned with determining the type and number of personnel required to complete the project effort?

   A. Proposal definition
   B. Scheduling
   C. Budget considerations
   D. Resource estimation

4. What is the chief product of the proposal definition activity?

   A. Detailed project schedule
   B. Work breakdown structure
   C. Project work flow
   D. Evaluation plan

Indicate whether the statements listed below are true or false by writing a T or F on the line.

5. ___ Resource estimation can be facilitated by using the lists of tasks in the work breakdown structure for proposal development.

6. ___ Informal communication between the proposal director and the funding agency should be kept to a minimum because the funding agency provides all necessary guidelines in the Request for Proposal document.

7. ___ The costs of the proposal development effort should not be summarized in a typical line item budget because the line item budget has an input orientation.

8. ___ After securing approval for the proposal development plan, the project moves into the proposal preparation phase.

9. ___ An essential part of the Project Cost Plan is the identification of resource needs for the project.

10. ___ A proposal director should be selected as soon as possible after the decision has been made to develop a proposal.

Turn the page and check your answers.

Directions and Choices Following Lesson Post-test

Directions: The correct answers to Lesson 2 Post-test are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of the proposal planning and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 9.*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal planning. References for additional reading are listed on page 16 of the Module Manual.

Multiple Choice

1. (A) B C D
2. A B (C) D
3. A B C (D)
4. A (B) C D

True/False

5. T
6. F
7. F
8. T
9. F
10. T

Number Correct=_____

Termination Instructions

This lesson on proposal planning is now completed. Lesson 3 entitled "Proposal Preparation" is the next lesson in the sequence.

Lesson 3

Proposal Preparation

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EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 3

Proposal Preparation

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Introduction to Lesson

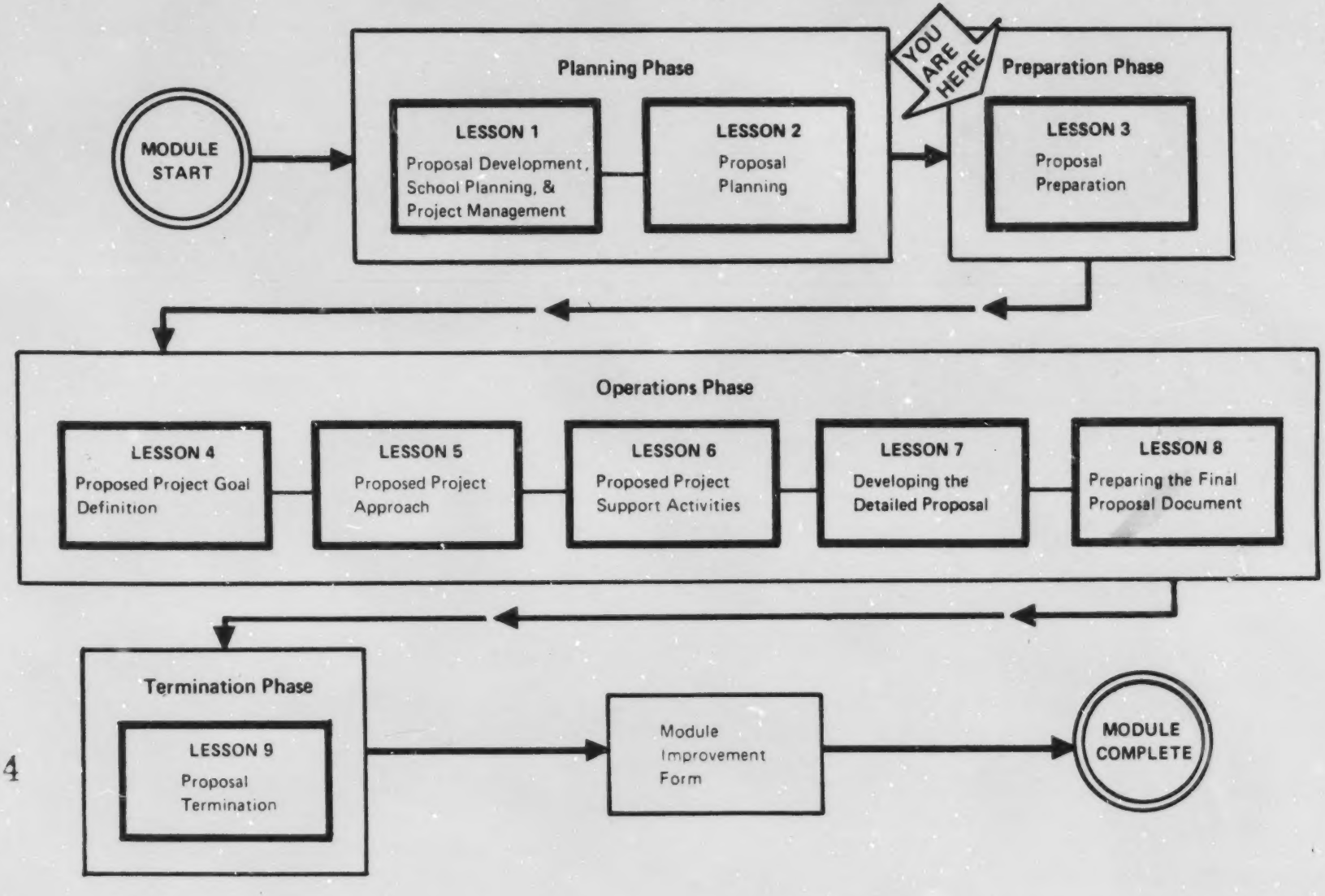
This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Page

Booklet containing the following items

Introduction to lesson..... 1
Overview and objectives..... 3
Pretest..... 4
Lesson abstract and content outline..... 7
Lesson text..... 9
Practice exercise..... 17
Post-test..... 25

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The previous lesson dealt with the creation of a brief written plan for the development of a proposal document. This activity was termed the proposal planning phase, the first phase in a proposal development project.

This lesson deals with the second phase of a proposal development project, proposal preparation. The four major areas of activity necessary to prepare for the creation and writing of the proposal document are detailed.

The third phase of a proposal development project, proposal operations, will be detailed in the next five lessons, presenting management techniques to facilitate the creation of the three major components of a proposal document. Lesson four introduces these components, and highlights the development of proposed project goals and objectives.

OBJECTIVES

After completing this lesson the student should be able to create a preparation plan for a proposal development project. The specific objectives of the lesson are as follows:

1. The student should be able to specify the personnel roles needed on a proposal development team including the writing of role descriptions.

2. For a proposal development project, the student should be able to do the following:

   a. create an organizational chart and management responsibility guide,

   b. outline the basic design of the project information system for a proposal,

   c. specify the needed facilities, equipment, and materials.

Pretest

Directions: Read the directions and items for each part carefully, then respond in the manner directed.

Four elements of the proposal preparation phase are presented below. Below these elements are listed four statements. Each statement refers to one of the preparation phase elements. Match the statement with the element to which it relates by placing the letter of the element in the space next to the appropriate statement.

A. Organizational Chart
B. Role Description
C. Management Responsibility Guide
D. Information System

1.___Specifies the experience and qualifications needed by an individual staff member.

2.___Identifies each staff member's relationship to each proposal development task.

3.___May specify both supervisory responsibility and information flow.

4.___Provides data to compare planned project status to actual project status.

Answer the true/false questions below by placing a T or F on the line before each question.

5.___When arranging for the contracting and payment of outside consultants the proposal director should coordinate these efforts with the school district's business administrator.

6.___With a relatively small and simple proposal effort, a detailed proposal preparation plan is still necessary.

7.___Arranging for facilities, equipment, and materials for the proposal development effort should be completed prior to the proposal operation phase.

8.____The basic responsibility for completing proposal preparation tasks is usually shared by the proposal director and the school district's business administrator.

9.____In designing internal reports for the proposal development effort, the focus is upon the data needs of the proposal director and team.

10.____In arranging for teachers to work on the development of a proposal, it may be necessary to formally obtain their release from classroom duties.

Turn the page and check your answers.

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 3 pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of proposal preparation and should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation by turning to the lesson text on page 9.

If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal preparation and should read the lesson abstract and content outline on page 7. Then if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 17. If you do desire to read the content presentation, turn to the lesson text on page 9.

Matching

1. B
2. C
3. A
4. D

True/False

5. T
6. F
7. T
8. F
9. T
10. T

Number Correct=_____

Lesson Abstract and Content Outline

ABSTRACT

Proposal preparation is the second phase of the proposal development process. As was the case in the planning phase, the Proposal Director is basically responsible for performing the tasks involved in proposal preparation. The four major proposal preparation tasks are: (1) the selection and acquisition of personnel for the proposal development team, (2) the organization of the team and the assignment of responsibilities, (3) the development of an information system and (4) the acquisition of facilities, materials, and equipment needed for the effort. The successful completion of the preparation tasks will reduce the likelihood of the occurrence of many potential problems and increase the probability of success for the entire proposal development effort.

CONTENT OUTLINE

A. The proposal preparation phase, which follows proposal planning, involves four major tasks carried out by the Proposal Director:

   1. selecting and acquiring personnel;

   2. organizing the proposal team and assigning task responsibilities;

   3. developing an information system;

   4. acquiring needed equipment, facilities, and materials.

B. A major task of the proposal director is selecting personnel for the proposal development team.

   1. Role definitions are helpful, including duties and responsibilities, desired training and experience, and date and extent of projected work.

   2. The director may have access to needed personnel from sources such as: curriculum or subject matter specialists, central office evaluation staff, and community members.

3. Some personnel may be siphoned off from school district staff, while special arrangements may be made for typists and consultants.

C. The proposal director also organizes the proposal team, and specified individual authority and responsibilities.

1. A chart should be employed to clearly show organizational relationships and information flow among team members, and between the team and outside agencies.

2. A management responsibility chart should be used to depict staff responsibility.

D. A simple project information system should be instituted to easily communicate status reports among team members, including staff meetings, individual conferences, and internal progress reports.

E. The acquisition of facilities, equipment, and materials should be accomplished according to needs detailed in the proposal plan.

Lesson Text

Introduction

The previous lesson on the proposal planning phase had as its emphasis the creation of an approved, written plan for developing a proposal document. The second phase of the proposal development process, proposal preparation, is concerned with those activities that must be performed before the actual creation of the proposal document can begin. As with the proposal planning phase, the activities of the proposal preparation phase are basically performed by one individual--the Proposal Director.

The proposal preparation tasks which the proposal director must perform can be grouped into four broad areas: (a) selecting and acquiring the services of personnel to serve on the proposal development team, (b) organizing the team and assigning task responsibilities, (c) developing an information system, and (d) acquiring whatever facilities, equipment and materials are needed. These tasks are not necessarily performed in the sequence given. Depending upon the individual situation, the proposal director may do them in almost any order.

With a large, complex proposal development effort, the proposal director should create a plan for conducting the proposal preparation tasks. In most cases, however, the effort is small and simple enough that a detailed plan may not be necessary. Regardless of size, a preparation plan can help to minimize problems later on in the development of the proposal.

Proposal Development Team

A major, and perhaps the most time consuming proposal preparation task, is the selection of the proposal development team and the acquisition of their services. The proposal director must first determine the skills or specialties needed for the particular proposal development effort. He can then write brief, but specific, job or role descriptions, including qualifications for each specialty. These role descriptions will facilitate the selection of the proposal development team by permitting the proposal director to match each potential team member with the needed specialties. A typical role description would include information such as: duties and responsibilities, desired training and experience, amount of time required and when needed. An example of a role description for a proposal team member is presented in Figure 3.1.

The proposal director must next determine where and how to obtain the specified personnel. The following persons are typical of the type of personnel often chosen to serve on a proposal development team.

1. Curriculum or subject matter specialists
2. Central office evaluation staff
3. Director of finance or business manager
4. Subject matter or evaluation consultants
5. Community members
6. Typists and clerical assistants

Members for a proposal team may be recruited from within the local school district, within the local area, or from outside the local area--as in the case of consultants. School district staff members may be required to devote some time in addition to their usual job tasks. In such case, the proposal director will

Role Description

1. Project Title: *Individualized Reading Proposal*
2. Project Manager: *John Smith*
3. Role Title: *Planner/White (Reading Specialist)*
4. Schedule and Time Required: *September 10, 1972 - November 30, 1972*; *Approximately 5 hours per week*
5. Duties and Responsibilities
   a) *Assist in the specification of the proposed project goal and objectives*
   b) *Assist in the specification of the proposed project approach*
   c) *Write proposal sections on the project goal and objectives, the project approach (including work breakdown structure and task description), and the dissemination section*
   d) *Assist in the development of the Cost Plan*
   e) *Assist in the development of the Management Plan*
   f) *Review all sections of the proposal*
   g) *Assist in writing the proposal development history*
6. Experience and Qualifications
   a) *Graduate degree in reading instruction*
   b) *Several years teaching experience*
   c) *Supervisory experience in reading, including improvement in instruction programs*

Figure 3.1--Example of a Role Description for a Proposal Team Member

have to estimate carefully the amount or percent of their time that he will be needing. For some school personnel such as teachers, it may be necessary to obtain released time from their classroom duties. Typing and clerical assistance can usually be obtained from a project officer or central office department. It is possible, however, that a typist may have to be hired for a brief time. This might occur toward the end of the proposal development project when many pages of the final copy require typing and the date for submission of the document is rapidly approaching. In the case of outside consultants, arrangements for their services, including contracts and payment, will require the careful attention of the proposal director and the school district Business Manager.

Organization and Responsibilities

Another important responsibility of the proposal director is that of organizing the proposal team and assigning appropriate responsibilities to each member. In organizing the team, the proposal director should first specify the organizational relationships within the team and between the team and other personnel within the school system. These relationships should be depicted graphically by the use of an organizational chart. The organizational chart may be used to indicate both supervisory responsibilities and the flow of information. An example of an organization chart for a proposal development effort appears in Figure 3.2.

After the organizational structure has been specified, the authority and responsibilities of the members should be determined. A management responsibility chart can be quite helpful to the proposal director in summarizing task authority and responsibility. The chart shows each staff person's

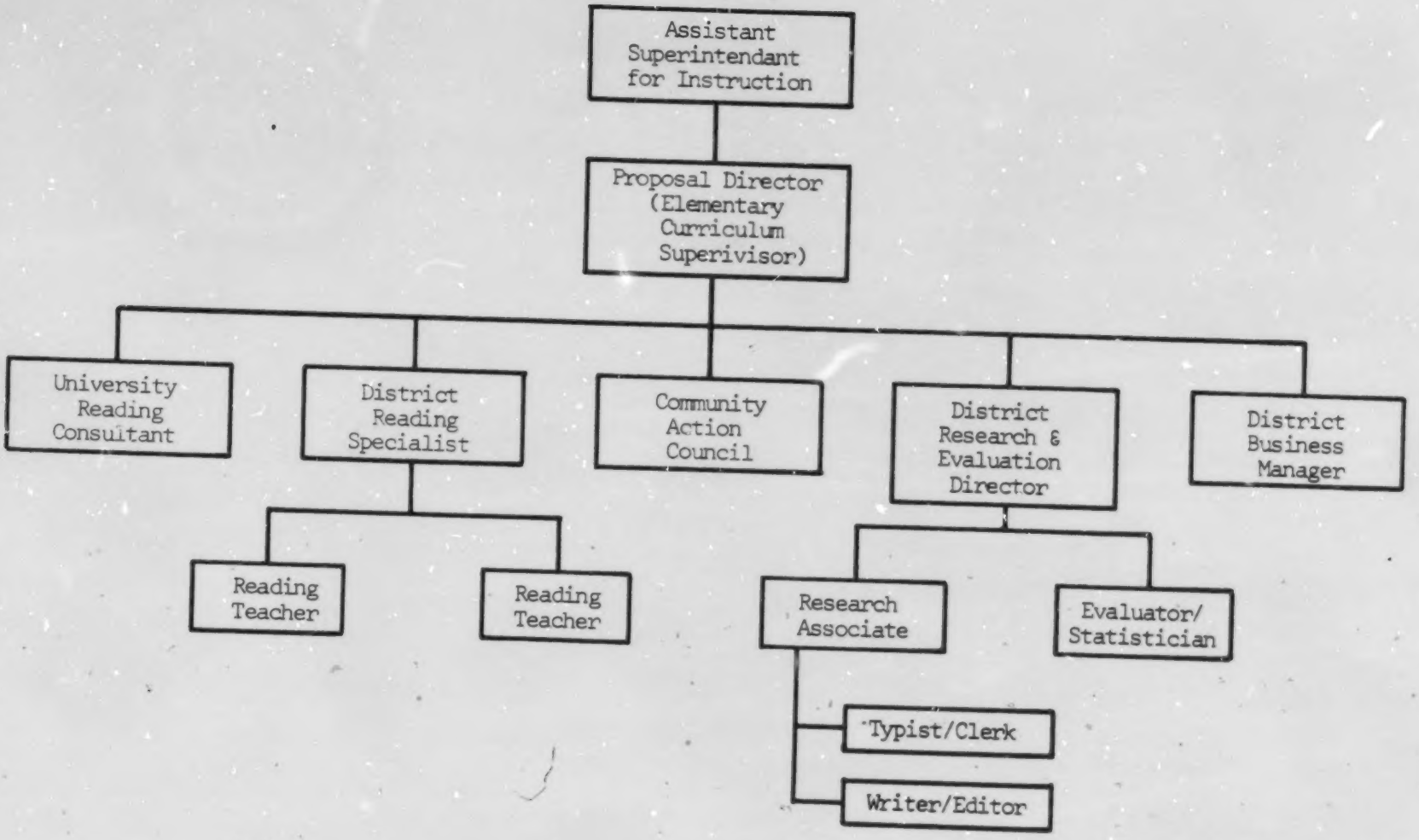


Figure 3.2--Example of a Proposal Development Project Organizational Chart

relationship to each proposal task. An example of a management responsibility chart is shown in Figure 3.3.*

Project Information System

An important concern of the proposal director is to develop an information system that both facilitates the communications among members of the proposal team (which may include staff members from several buildings), and serves to report the actual progress of the effort in comparison with the planned status at any given time. The information system designed for proposal development usually does not need to be sophisticated. A simple, flexible system that provides clear communication channels to all parties concerned is usually all that is needed. Members of the team need to be able to communicate with one another easily and to know what should be happening in the development effort as well as what is actually happening.

In order to facilitate communications, the proposal director may schedule periodic staff meetings, arrange for individual conferences, and provide for the distribution of frequent internal progress reports. In designing the format for internal reports, it is important to consider the kind of data that is needed to effectively monitor and control the proposal development effort. This will give some idea of the type and frequency of reports that will be needed from the various members of the proposal team.

---

*If you feel you need some review of how to write job descriptions and how to make a project organizational chart and management responsibility guide, you might want to refer to the lessons on project preparation contained in Module 2 of the EPMIS series, Basic Principles and Techniques of Project Management.

Task Description	Position Title: Proposal Director	Reading Specialist	Reading Teacher	Research Associate	University Consultant	Business Manager	Evaluation/ Statistician	Community Aciton Council
1.10 Specify Project Goal and Objectives	G	O	S		Y			Y
Gather Information 1.21	G	O	S	S	Y			
Analyze Information 1.22	G	O	S	S	Y			
Synthesize Information 1.23	G	O	S	S	Y			
Select Best 1.24 Approach	G	O			Y			
Develop Evaluation Plan 1.31	G	O					S	

CODES

G-General Responsibility
O-Operating Responsibility
S-Specific Responsibility
Y-To be Consulted

Figure 3.3--Partial Management Responsibility Guide for a Proposal Development Project

Acquisition of Facilities, Equipment and Materials

Another important task that should be performed prior to the actual proposal development is the acquisition of whatever facilities, equipment and materials that may be needed by the proposal team to do their work. The needs of the proposal team for facilities, equipment, and materials should have been described in the proposal plan. Although this task is generally not too time consuming, advance arrangements need to be made in order to avoid unnecessary delays once the team has been assembled.

Summary

The tasks of the proposal preparation phase are: (a) selecting and acquiring the services of personnel to serve on the proposal development team, (b) organizing the team and assigning task responsibilities, (c) developing an information system, and (d) acquiring whatever facilities, equipment and materials are needed. Once these tasks have been performed, the proposal preparation phase is complete, and the effort moves into the next phase--the proposal operations phase.

Exercise-A

Directions: As an assistant in the development of the TPT Math Proposal, you have been asked by the Proposal Director to assist in the preparation of role descriptions. Before doing so, however, please list in Part A, several types of personnel who may be required to develop the proposal. After listing the personnel, select any one role classification from the list and prepare a simple role description in the space provided below in Part B. When completed turn the page.

PART A. Proposal Development Team--Role Categories

PART B. Role Description-

Exercise-- Solution

Directions: It is recognized that a variety of responses may be correct for this exercise. The solution for Part A contains a listing of personnel who would probably be needed to develop the IPI Math Proposal. The Part B solution contains a listing of those points which you should have considered in your job description. Compare your solution to Part A with the suggested solution and judge your solution to Part B using the criteria given. When finished turn the page.

PART A: Proposal Development Team--Role Categories

1. Proposal Director
2. Math Team Leader
3. Math Team Members
4. Consultant for Individualized Instruction
5. Evaluation Specialist
6. Budget Specialist
7. Typist

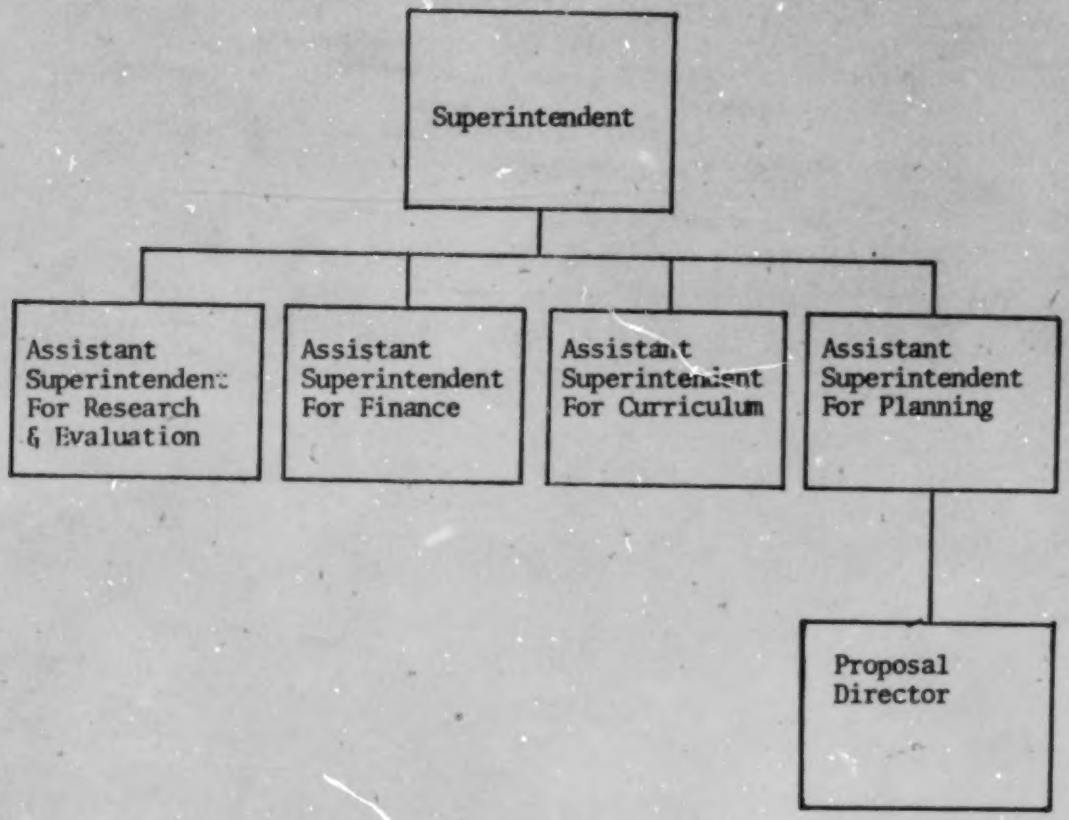
PART B: Role Description

Does your job description:

1. Identify the role?
2. Indicate the amount of time the person will spend in the role?
3. Indicate the duties and responsibility of this role?
4. Indicate desirable experiences and qualifications for the role?

Exercise B

Using the solution presented in Part A of Exercise A, complete the abbreviated organizational chart in the space below by including each of the members of the proposal development team. Use solid lines to represent direct authority/responsibility lines and dotted lines to show necessary indirect communication channels with non-project personnel.



Exercise B--Solution

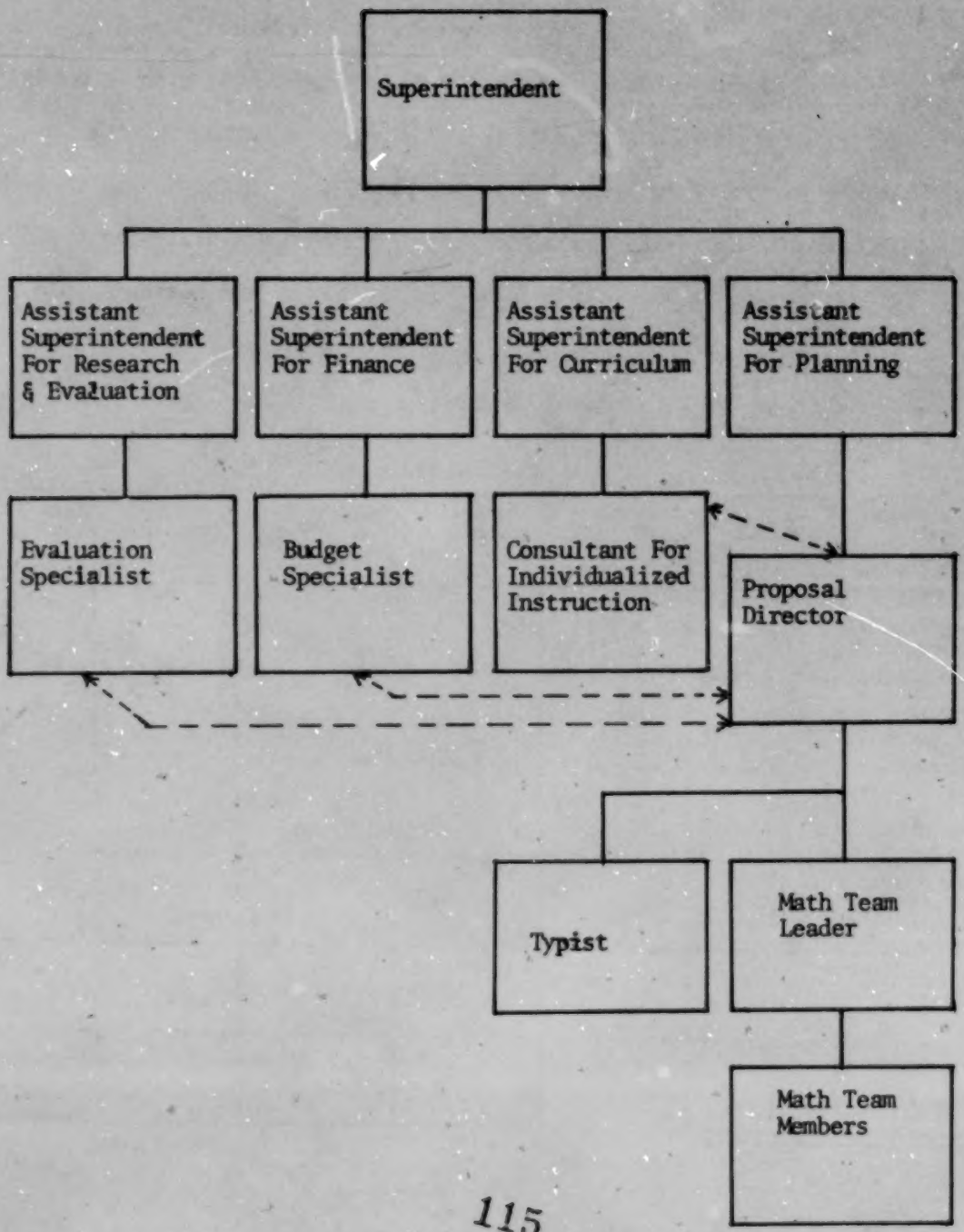
On the next page is one suggested organizational chart.

Your chart might be slightly different from this one but it should contain essentially the same information. One likely place your chart might have differed from the suggested one is in the placement of the Consultant for Individualized Instruction.

For the given solution, he is under the Assistant Superintendent for Curriculum. You might have placed him under the proposal Director in some fashion on the assumption that he was a consultant hired specifically to help the proposal development effort rather than a consultant to the Assistant Superintendent for Curriculum. While this is not wrong, it is less likely that he would be hired specifically for this proposal development effort than that he would come from another area within the school system.

Check also to see to it that you have included dotted lines for communications with non-project personnel.

Exercise B--Solution



Lesson 3--Proposal Preparation

Exercise C

As soon as the personnel are assembled for the proposal development effort and the organizational structure is determined, authority and responsibility for each task should be assigned. One graphic method for showing these assignments is the Management Responsibility Guide. In the partial form presented below, place an R in the box to show which team member or office would have immediate responsibility for seeing that the task is accomplished, a C in the box of the person should be consulted about the task, or an N in the box if the person needs to be notified of the progress of completion of the task.

PARTIAL MANAGEMENT RESPONSIBILITY GUIDE

Personnel / Task	Project Management Office	Superintendent	Proposal Director	Typist	Evaluation Consultant	Math Team Leader	Math Team Members
4.10 Prepare Abstract							
4.20 Prepare Assurances Section							
4.30 Prepare Target Population Section							
4.40 Prepare Community/ School Personnel							
4.50 Edit and Format Document							
4.60 Arrange Final Review Clearances Approvals							

CODES: R--immediate responsibility
C--should be consulted
N--needs to be notified

Exercise C--Solution

As soon as the personnel are assembled for the proposal development effort and the organizational structure is determined, authority and responsibility for each task should be assigned. One graphic method for showing these assignments is the Management Responsibility Guide. In the partial form presented below, place an R in the box to show which team member or office would have immediate responsibility for seeing that the task is accomplished, a C in the box of the person should be consulted about the task, or an N in the box if the person needs to be notified of the progress of completion of the task.

PARTIAL MANAGEMENT RESPONSIBILITY GUIDE

Personnel / Task	Project Management Office	Superintendent	Proposal Director	Typist	Evaluation Consultant	Math Team Leader	Math Team Members
4.10 Prepare Abstract			N				R
4.20 Prepare Assurances Section	C		R				
4.30 Prepare Target Population Section		C	N		C	C	R
4.40 Prepare Community/ School Personnel		C	N		C	C	R
4.50 Edit and Format Document	N	N	C			C	R
4.60 Arrange Final Review Clearances Approvals	C	C	R		N	N	N

CODES: R--immediate responsibility
C--should be consulted
N--needs to be notified

Directions and Choices Following the Practice Exercises

Based upon the self-evaluation of your performance on the exercises, you have either:

A. acceptably satisfied the objective of creating a preparation plan for a proposal development project, and should now turn to the post-test found on page 25. .

References for additional reading are listed on page16 of the Module Manual.

B. not satisfied the objective, and should read the section of the lesson text on the proposal development team beginning on page 10 and then rework any exercise you did not solve satisfactorily.

Post-Test

Directions: Read the directions and items for each part carefully, then respond in the manner directed.

Four elements of the proposal preparation phase are presented below. Below these elements are listed four statements. Each statement refers to one of the preparation phase elements. Match the statement with the element to which it relates by placing the letter of the element in the space next to the appropriate statement.

A. Organizational Chart
B. Role Description
C. Management Responsibility Guide
D. Information System

1._____ May specify both supervisory responsibility and information flow.

2._____ Provides data to compare planned project status to actual project status.

3._____ Specifies the experience and qualifications needed by an individual staff member.

4._____ Identifies each staff member's relationship to each proposal development task.

Answer the true/false questions below by placing a T or F on the line before each question.

5._____ In designing internal reports for the proposal development effort, the focus is upon the data needs of the proposal director and team.

6._____ The basic responsibility for completing proposal preparation tasks is usually shared by the proposal director and the school district's business administrator.

7._____ In arranging for teachers to work on the development of a proposal, it may be necessary to formally obtain their release from classroom duties.

8.___With a relatively small and simple proposal effort, a detailed proposal preparation plan is still necessary.

9.___When arranging for the contracting and payment of outside consultants the proposal director should coordinate these efforts with the school district's business administrator.

10.___Arranging for facilities, equipment, and materials for the proposal development effort should be completed prior to the proposal operation phase.

Turn the page and check your answers.

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 3 Post-Test are listed down the right margin. Check your responses.

Directions: If you answered eight or less questions correctly, you have not acceptably demonstrated knowledge of proposal preparation and should select one or more of the following courses of action:

1. *Read the lesson text beginning on page 9.*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal preparation. References for additional reading are listed on page 16 of the Module Manual.

Matching

1. A
2. D
3. B
4. C

True/False

5. T
6. F
7. T
8. F
9. T
10. T

Number Correct=____

Termination Instructions

This lesson on proposal preparation is now completed. Lesson 4 entitled Proposal Project Goal Definition is the next lesson in the sequence.

Lesson 4

Proposed Project Goal Definition

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Educational Program Management Center
The Ohio State University

May 1974

EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 4
Proposed Project Goal Definition

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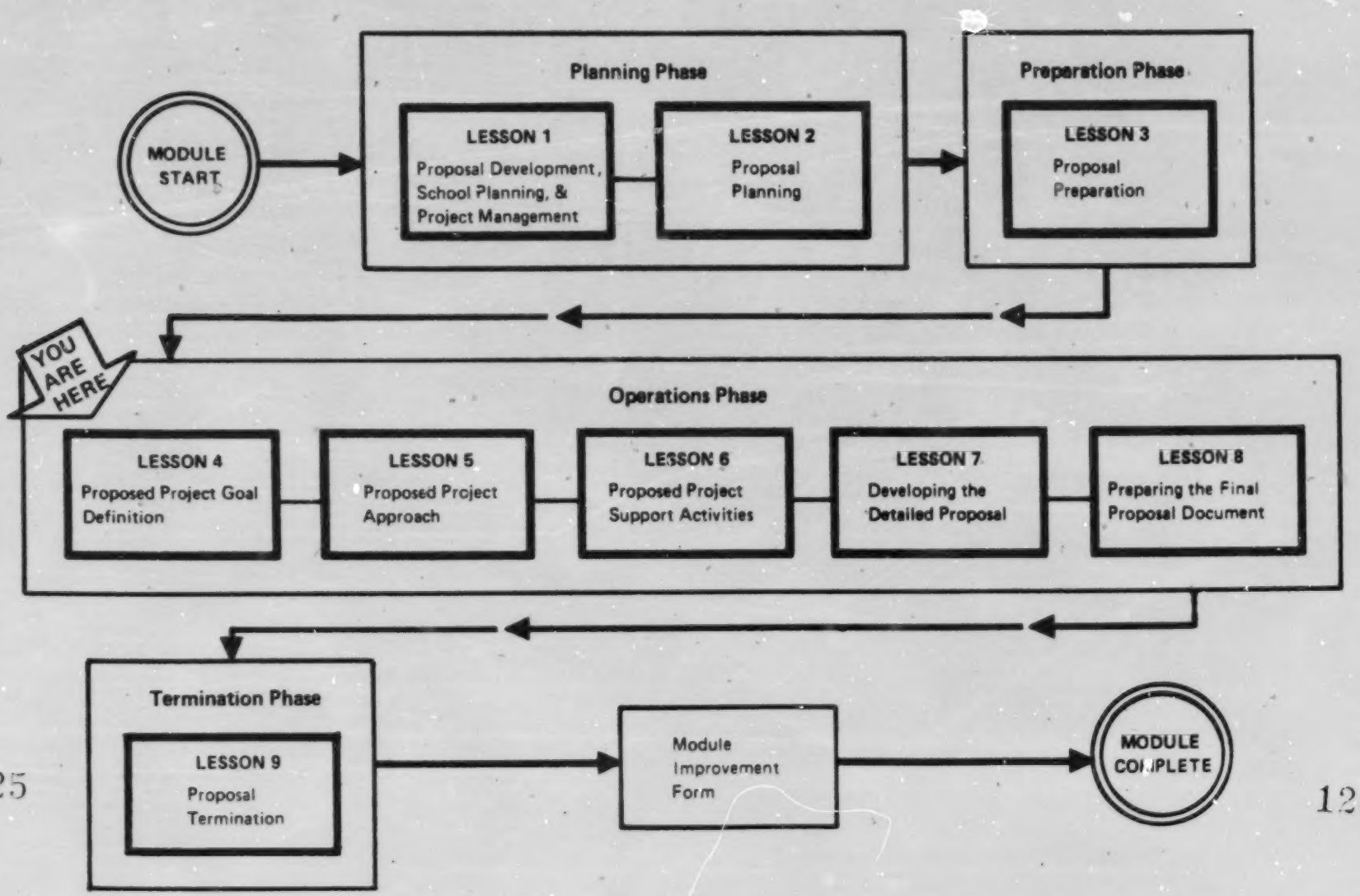
Introduction to Lesson

This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

	Page
Booklet containing the following items.	
Introduction to lesson.	1
Overview and objectives	3
Pretest	4
Lesson abstract and content outline	7
Lesson text	9
Practice Exercise	17
Post-test	22

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The preceding lesson described four major task areas of concern in the preparation phase of a proposal development project. These areas were selecting and acquiring personnel, organizing the proposal team, developing an information system, and acquiring necessary facilities, equipment, and materials.

This lesson introduces a series of lessons focused upon management and control of activities in the operations phase of the proposal development project. These activities are concerned with the creation of the Technical Plan, Management Plan, and Cost Plan components of the proposal document. The present lesson focuses on setting goals and objectives for the proposed project, the first step in developing the Technical Plan.

The next lesson continues the Technical Plan development through discovery of possible alternative approaches to realizing the project's goals, and the selection of a "satisfactory" approach.

OBJECTIVES

The student in completing this lesson should be able to guide a proposal development team in creating a goal definition for a proposal project. The specific objectives of the lesson are as follows:

1. The student should be able to prepare an agenda for the initial meeting of a proposal development team.

2. The student should be able to write project goal and objectives statements correctly.

Pretest

Directions: Please take time to answer carefully the questions below following the specific directions given.

The list on the right names three major sections of every proposal. The list on the left is a series of topics, each of which would be included in one (and only one) of the major sections listed on the right. Match the topics with their appropriate section by placing the letters (A,B, or C) on the line before each topic.

1. ____ Proposed solution for the problem which the project is addressing
2. ____ Matrix budget
3. ____ Personnel descriptions
4. ____ Dissemination plan
5. ____ Organizational plan

A. Technical Plan
B. Management Plan
C. Cost Plan

In drawing up an agenda for the initial meeting of the proposal development team, you will want to consider certain topics for the meeting. Circle the letter by the one topic in the list below which <u>is not</u> a likely candidate for the agenda of the <u>first</u> meeting.

6. A. The proposal development plan
   B. The boundary of the project
   C. The goal and objectives of the project
   D. The project work breakdown structure
   E. The reasons for the proposal development

Write the correct answers to the questions below on the lines provided.

7. The third phase of the proposal development process emphasizes the need for the proposal director to exercise the management function of _____.

8. Identify two sources of information and/or assistance which will help the proposal director to write and refine the project goal statements:

   a. _____

   b. _____

Circle the letter of the choices below which is not one of the three essential characteristics of a well-written objective.

9. A. The output

   B. The evaluation method

   C. The conditions of achieving the objective

   D. The subject

Place a T (True) or F (False) on the line before the question below.

10. ____ Expressing each objective of a project as a measurable activity makes it possible to determine project effectiveness and to schedule and monitor project activities.

Lesson 4--Proposed Project Goal Definition

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 4 Pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of project goal definition and should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation by turning to the lesson text on page 9.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of project goal definition and should read the lesson abstract and content outline on page 7. Then if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 17. If you do desire to read the content presentation, turn to the lesson text on page 9.

Matching

1. A
2. C
3. B
4. A
5. B

Multiple Choice

6. A B C (D) E

Completion

7. control, operational control, or similar words

8. (Possible correct answers include: (1) local research studies and needs assessments, (2) needs and goal statements of local, state, and federal agencies, (3) reports and guidelines from funding agencies, (4) the request for proposal, (5) local demographic, economic, and social studies).

Multiple Choice

9. A (B) C D

True/False

10. T

Number Correct=_____

Lesson 4--Proposed Project Goal Definition

Lesson Abstract and Content Outline

ABSTRACT

This lesson begins the third phase of the proposal development process. This phase emphasizes the management function of controlling or guiding the the development process. Attention is given to development of the Technical Plan and the supporting sections of the Management Plan, and the Cost Plan. Lesson 4 emphasizes the process of setting project goals or objectives, the first step in developing the Technical Plan.

The project goal statement consists of an outline of the goals and sub-goals that the project will be designed to achieve. Project objectives should specify (1) the output to be accomplished, (2) the conditions under which the desired output will be achieved, and (3) the personnel responsible for achieving the objective. These objectives should be stated so that their accomplishment can be measured. They can then be assessed to determine project effectiveness, to schedule and monitor project activities, and control project expenditures.

CONTENT OUTLINE

A. The operations phase of the proposal development process focuses on the management function of controlling the proposal development effort in order to produce the three major components of a proposal document: the Technical Plan, Management Plan, and Cost Plan.

   1. The Technical Plan deals with the why and how of the proposal, including identified needs and concerns, solutions and rationale, procedures and evaluations.

   2. The Management Plan represents the when, where and who of the project, including work flow, schedules, resources, personnel descriptions, etc.

   3. The Cost Plan translates the above data into dollar cost, summarized in a budget.

B. Planning for goal definition begins with a proposal development team meeting, organized and chaired by the proposal director. The agenda should include:

1. reason for proposal development, as determined by the local needs assessment,

2. project goals and objectives, based upon available research studies, and the project goal description developed during the planning phase,

3. boundary of the project, as determined by funds available, goals, and available guidelines.

C. A project goal definition should be written so as to describe in a statement what the project should achieve.

1. Objectives may be further specified in an outline, including sub-points and measureable activities.

2. Objectives should meet the criteria of (1) specifying output to be accomplished; (2) identifying conditions of achievement; (3) specifying those responsible for achieving the defined output.

Lesson Text

Introduction

The previous lessons have been concerned with the planning and preparation phases of the proposal development process and with their associated management activities. With this lesson the discussion of the third phase of the proposal development process, the operations phase, will begin.

The primary emphasis in the next five lessons will be upon managing the development of the actual proposal document by the proposal development team. Emphasis is given to the need for the proposal director to exercise the management function of control. This function focuses upon the process of determining the status of the proposal development effort from time to time and taking those actions necessary to make sure that the team is moving along toward the successful completion of the proposal document. The management actions associated with the development of the three general or major components of a proposal document are discussed. For convenience, these components have been called the Technical Plan, Management Plan, and Cost Plan.

The Technical Plan deals with the identified need or problem of concern and presents the proposed solution and its supporting rationale. Sections on procedures, evaluation, dissemination, target audience, and similar elements are part of this component. Briefly, this component presents the why and how of the proposal.

The Management Plan presents work flow, schedules, personnel descriptions, number and types of needed resources, organizational charts, and similar items which tell when, where, and who will help carry out the project when it is funded.

The Cost Plan is basically a translation of the two previous plans into

a common denominator of dollars. The cost of project resource needs are estimated and summarized in what is commonly known as the budget. These three components, when assembled, make up the basic elements of a proposal. Different funding agencies often have various labels for the several sections or subsections of a proposal. Most of these sections, however, are encompassed by the three components noted above. Since the sequence of development of the components (or sections) of a proposal might vary from district to district, the sequence in which they are presented in this series of lessons is arbitrary.

This lesson focuses upon the development of the goal and objectives of the proposed project. Lesson 5 presents the management activities associated with the specification of the project approach and its rationale. Lesson 6 reviews the elements of an evaluation plan and a dissemination plan, and discusses the relationship of auditing to the evaluation plan. Lesson 7 covers the development of the Management and Cost Plans for the proposal. Lesson 8 outlines the management actions necessary to the preparation and processing of the final proposal document.

Let us now turn our attention to the development of the first element of the Technical Plan--the development of the project goal and objectives.

Planning for Goal Definition

One of the first actions taken by the director of the proposal development team is to call an initial team meeting. A few preparations are needed beforehand. In addition to notifying the team about the place and time of the meeting, it is necessary to provide each team member (either before or at the meeting) with the agenda or outline to be followed during the meeting. Some

of the items that should appear on this first agenda are: the goal and objectives of the project, the boundary of the project, and the proposal development plan. The proposal director should chair the meeting.

Reason for Proposal Development.--The discussion of the first item on the agenda, the reason or rationale for the proposal development effort, points to the local needs assessment already completed. An understanding of this rationale will provide both a direction for the proposal development effort and motivation for the team members.

Goal and Objectives of Project.--The most important agenda item is the discussion of the statement of the goal and objectives of the project. The project goal should be based in part upon data concerning the needs of the school district which has previously been collected from sources such as local research studies; needs and goal statements of local, state, and federal agencies; and local demographic, economic, and social studies. The project goal description that you developed during the proposal development planning phase will serve as a first draft. Additional sources that may be helpful in refining the goal statement can be found by reviewing various reports or guidelines obtained from the federal or state funding agencies and the proposal request (RFP), if you have one. All this information will need to be analyzed by you and the other members of the team before a clear, precise project goal can be stated.

Boundary of the Project.--The boundary of the project is very much tied in with the objectives and goals of the project. For example, the proposal

director may specify in his presentation that the project will be limited to Harrington Elementary School, rather than including all the elementary schools within the district. Further, the objectives may also indicate that only the math teachers will participate. The amount of money available will have some impact on the boundary, of course, but a consideration the proposal director may want to discuss with his team members is whether the project should attack the problem in depth, or across a large area. If "Guidelines" were received from the funding agency, they should be check to see if they outline any project boundary.

Proposal Development Plan.--A discussion of the proposal development plan will provide the team members with an idea of what activities must be done in a given amount of time. It will include the preliminary work breakdown structure, the workflow, time estimates and schedule. Additionally, it will provide a useful tool for discussing communication flow and reporting procedures within the proposal development team. It is at this point that you can assign tasks and specify completion dates to the various team members. You might also suggest possible approaches for completing the different proposal development tasks.

Developing the Project Goal Definition

The project goal definition consists of an overall project goal statement and two or more project "mission," or major objectives statements. The major objectives represent a further specification or refinement of the overall goal statement.

This project goal definition will be revised and specified in much greater

detail later in the proposal development effort, when the work breakdown structure for the proposed project is created. At the time of the initial meeting of the proposal development team, only a goal statement and a few major objectives are needed to give direction to the proposal development effort.

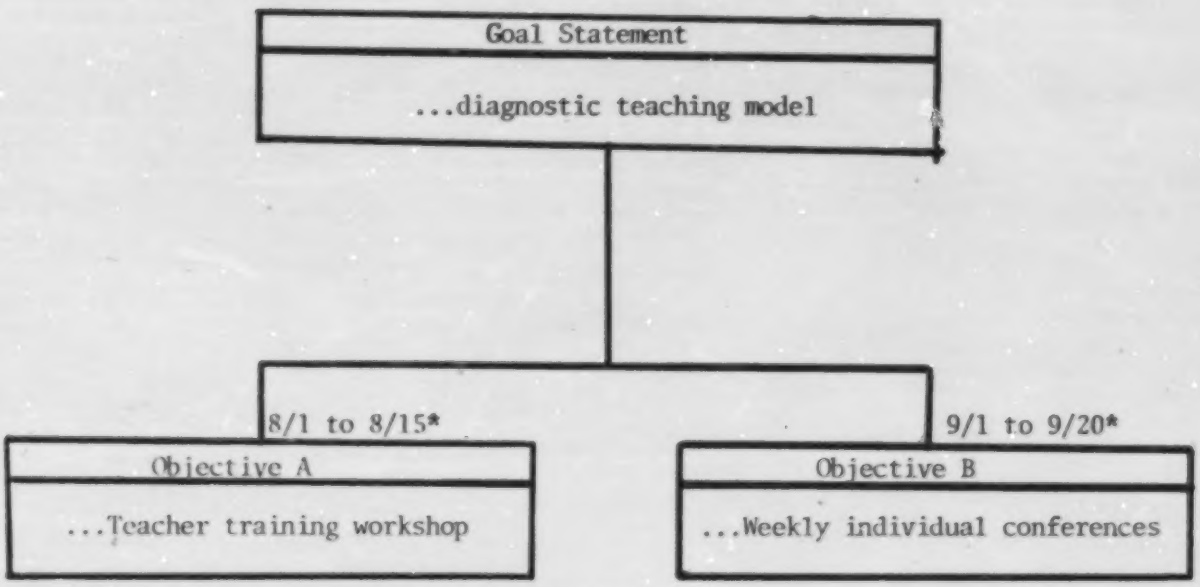
The project goal statement should answer the question "What is it that the project should achieve?" For example, the goal statement might read: "To establish a diagnostic teaching model for individualized instruction in Harrington Elementary School." Once the goal statement is written, it is necessary to further specify what activities or performances are necessary to achieve the goal. This can be done by organizing the objectives in an outline fashion. For example:

A. To develop by August 15, 1974 a program for a pre-service training workshop on the utilization of the diagnostic teaching model for individualized instruction.

B. To install by September 20, 1974 a program of weekly individual conferences between diagnostic teaching specialists on the staff and participating teachers.

Objectives A and B should be broken down further in order to provide meaningful and measurable activities. These activities can then be assessed to determine project effectiveness, to schedule and monitor project activities, to secure cost estimates, and to control project expenditures. Some objectives may have to be specified in greater detail than others.

It may be helpful to illustrate the hierarchical arrangement of the goal statement and objectives in the manner shown in Figure 4.1.* This method affords an overview of all project activities. Note that the start and completion date should be included for each objective.



*Start and completion dates

Figure 4.1

*This hierarchical arrangement represents the first two levels of the work breakdown structure for the proposed project. The goal statement and objectives will be modified and specified in greater detail later in the proposal development effort, when the work breakdown structure is created.

Regardless of the level of detail, each objective should meet or satisfy the following criteria:

(1) Specify the output or what is to be accomplished. Such output might include a report, a decision, a model, etc.

(2) Specify the conditions of achievement, identifying the conditions under which the desired output will be achieved. This might include schedules, a budget or cost listing, types of personnel, and similar factors.

(3) Specify responsibility. The objective should specify those project personnel, agencies, or components which will be responsible for achieving the defined output.

Let's check one of the statements of objectives in the previous example to see if it meets the criteria.

> "To install by September 20 a program of weekly individual conferences between diagnostic teaching specialists on the staff and participating teachers."

(1) The output: weekly individual conferences program..

(2) The conditions of achievement: "by September 20" and "between diagnostic teaching specialists on the staff and participating teachers."

(3) The responsibility: The subject is implied, as it often is. Here the subject would be the project team.

The above criteria are guidelines and should not be slavishly followed. It is essential, however, that the proposal director present his team members with a methodology to be used in the development of project goal and objective statements.

Conclusion

The operations phase of a proposal development project begins with the initial meeting of the proposal development team. The proposal director must organize the initial meeting which includes making arrangements for a time, date, and place, and preparing an agenda. Topics to be covered at the meeting include: the rationale or reason for the proposal development effort, the specification of the goal and objectives of the proposed project, a consideration of the boundary of the proposed project, and the proposal development plan. The proposal director should assign preliminary proposal-writing tasks to the various team members before the meeting adjourns.

Exercise A

Directions: Three objectives selected from the initial draft of the proposal to install the IPI Mathematics Program in Sanders Middle School are presented below. All of them are, to some degree or other, inadequately written. Listed below the objectives are several qualities which a well-written objective should have. Study each objective carefully; then rate each one as directed. When completed turn the page.

Objective I-4
To develop by April 15 an orientation program for 15 teacher aides in the methods of the IPI Mathematics Program.

Objective II-3
To produce trained teachers capable of teaching under the IPI Mathematics Program. The training criterion is that such teachers will achieve a score of 80 or better on a test of the basic principles and techniques of the program and perform appropriately in a simulated classroom setting under the judgement of a trained observer.

Objective III-7
After instruction by the teachers trained in the IPI Math Program, the students in the IPI Math Program at Sanders Middle School will display a better attitude towards mathematics.

Directions: Place an X at the right for each quality which the indicated objective demonstrates.

	Objectives I-4	II-3	III-7
1. The group or individual who will perform the desired behavior is specified, i.e., the subject.	___	___	___
2. There is a clear identification of the behavior to be demonstrated or the product to be developed.	___	___	___
3. The conditions under which the performance is expected to be measured are clearly stated.	___	___	___
4. The minimum level of acceptable performance is specified.	___	___	___
5. The means or instrument which will be used to measure the level of performance is specified.	___	___	___

Exercise--Solution

Directions: The correct answers to the practice exercise are given below. Check your work and then turn the page.

Objective I-4
To develop by April 15 an orientation program for 15 teacher aides in the methods of the IPI Mathematics Program.

Objectives II-3
To produce trained teachers capable of teaching under the IPI Mathematics Program. The training criterion is that such teachers will achieve a score of 80 or better on a test of the basic principles and techniques of the program and perform appropriately in a simluated classroom setting under the judgement of a trained observer.

Objective III-7
After instruction by the teachers trained in the IPI Math Program, the students in the IPI Math Program at Sanders Middle School will display a better attitude towards mathematics.

Directions: Place an X at the right for each quality which the indicated objective demonstrates.

	Objectives I-4	II-3	III-7
1. The group or individual who will perform the desired behavior is specified, i.e., the subject.	___	X	X
2. There is a clear identification of the behavior to be demonstrated or the product to be developed.	___	X	X
3. The conditions under which the performance is expected to be measured are clearly stated.	___	X	___
4. The minimum level of acceptable performance is specified.	___	X	___
5. The means or instrument which will be used to measure the level of performance is specified.	___	X	___
6. There is a specific time frame in which the goal will be accomplished.	X	___	___

Lesson 4--Proposed Project Goal Definition

Exercise B

The proposal development team has been assembled and an initial meeting of the team has been called. What general topics are likely to be discussed at this first meeting? A preliminary draft of the agenda is presented below. Your first task is to review the items on the list, delete by marking a line through those which would not be part of the agenda of the first meeting. Your next task is to number the items in the order in which they should appear on the agenda. Then, add any topics which you feel have been neglected. There is space provided for additional topics.

___A. Arrange for clearances from the proper school district officers.

___B. Specify goals and objectives of the project.

___C. Delineate the boundary of the project.

___D. Discuss proposal negotiation and which strategy to adopt.

___E. Outline the proposal development plan.

___F. Introduce proposal team personnel.

___G. Identify possible funding sources.

___H. Write community involvement plan.

___I. Review local needs assessment.

Other topics:

1._____

2._____

3._____

Exercise B--Solution

The choice of which items would be included on the agenda for the initial meeting of the proposal development team depends on how the Proposal Director perceives the purpose of the first meeting. Those topics likely to be included in the first meeting and their sequence on the agenda are presented below. Some additional topics are also listed.

1. Introduce proposal team personnel.
2. Outline the proposal development plan.
3. Review local needs assessment.
4. Specify goals and objectives of the proposal project.
5. Delineate the boundary of the project.

Some additional topics:

1. Discuss needed facilities and equipment
2. Approve organizational chart.
3. Develop management responsibility guide.
4. Review funds available.
5. Review Project Management Office guidelines for submitting proposals through the school district.

Directions and Choices Following the Practice Exercise

Based upon the self-evaluation of your performance on the exercise, you have either:

A. acceptably satisfied the objective of guiding a proposal team in creating a goal definition for a proposed project, and should now turn to the post-test found on page 22

References for additional reading are listed on page 16 of the Module Manual.

B. not satisfied the objective, and should read the lesson text beginning on page 9 and then rework Exercise A on page 17.

Post-Test

Directions: Please take time to answer carefully the questions below following the specific directions given.

The list on the right names three major sections of every proposal. The list on the left is a series of topics, each of which would be included in one (and only one) of the major sections listed on the right. Match the topics with their appropriate section by placing the letter (A, B, or C) on the line before each topic.

1. ____ Organizational plan
2. ____ Personnel descriptions
3. ____ Matrix budget
4. ____ Dissemination plan
5. ____ Proposed solution for the problem which the project is addressing

A. Technical Plan
B. Management Plan
C. Cost Plan

Place a T (True) or F (False) on the line before the question below.

6. ____ Expressing each objective of a project as a measurable activity makes it possible to determine project effectiveness and to schedule and monitor project activities.

Circle the letter of the choices below which is not one of the three essential characteristics of a well-written objective.

7. A. The output

   B. The evaluation method

   C. The conditions of achieving the objective

   D. The subject

In drawing up an agenda for the initial meeting of the proposal development team, you will want to consider certain topics for the meeting. Circle the letter by the one topic in the list below which is not a likely candidate for the agenda of the first meeting.

8. A. The proposal development plan

   B. The boundary of the project

   C. The goal and objectives of the project

   D. The project work breakdown structure

   E. The reasons for the proposal development

Write the correct answers to the questions below on the lines provided.

9. The third phase of the proposal development process emphasizes the need for the proposal director to exercise the management function of _____.

10. Identify two sources of information and/or assistance which will help the proposal director to write and refine the project goal statements:

    a._____

    b._____

Turn the page and check your answers.

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 4 Post-Test are listed down the right margin and below. Check your correct responses.

Directions: If you answer eight or fewer questions correctly, you have not acceptably demonstrated knowledge of project goal definition and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 9.*
2. *Rework the lesson Post-Test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of project goal definition. References for additional reading are listed on page 16 of the Module Manual.

Matching

1. B
2. B
3. C
4. A
5. A

True/False

6. T

Multiple Choice

7. A (B) C D
8. A B C (D) E

Completion

9. control, operational control or similar words

10. (possible correct answers include: (1) local research studies and needs assessments, (2) needs and goal statements of local, state, and federal agencies, (3) reports and guidelines from funding agencies, (4) the request for proposal, (5) local demographic, economic, and social studies).

Number Correct=_____

Termination Instructions

This lesson on proposed project goal definition is now completed. Lesson 5 entitled Proposed Project Approach is the next lesson in the sequence.

Lesson 5

Proposed Project Approach

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May 1974

EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 5
Proposed Project Approach

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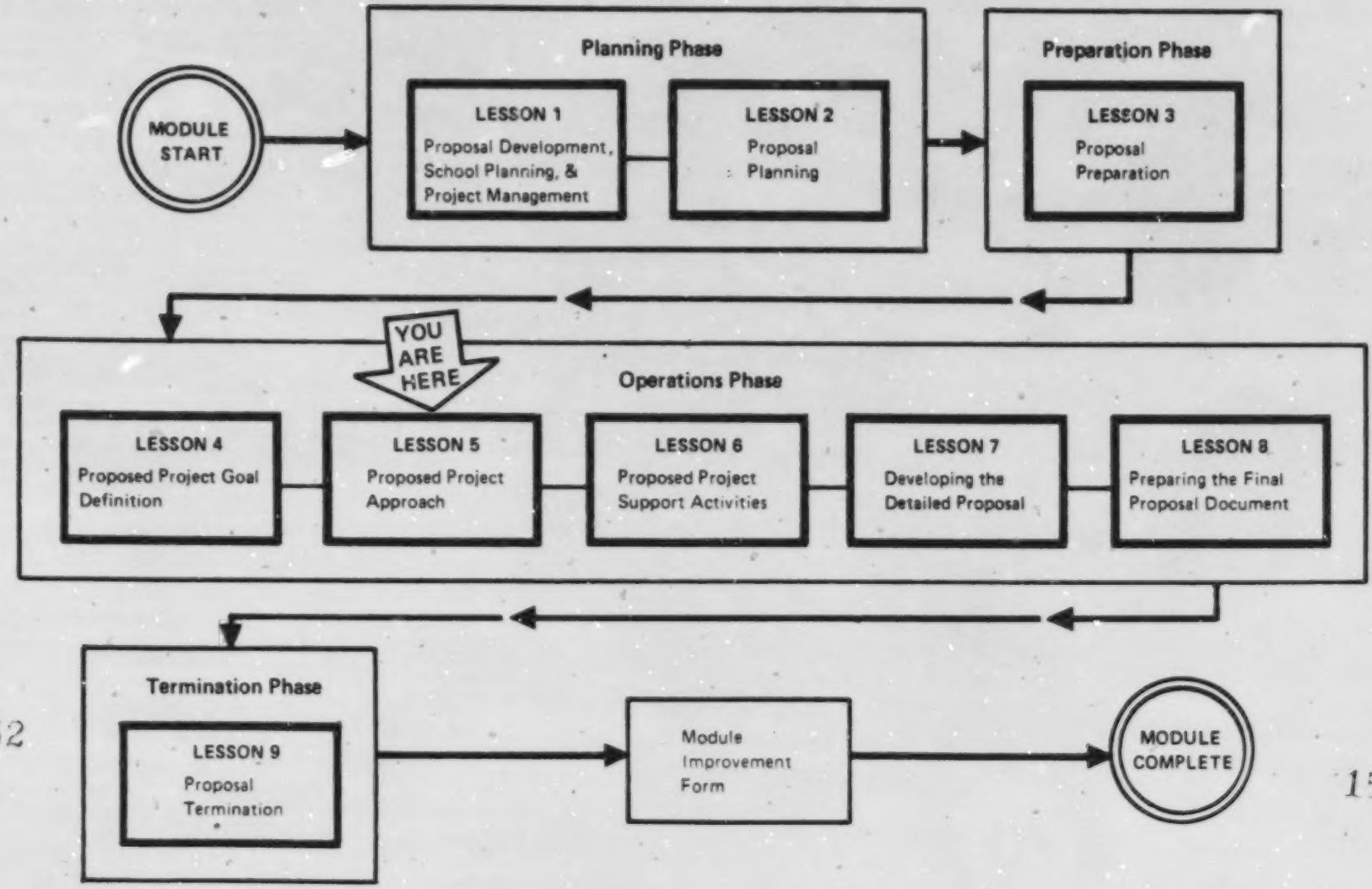
Introduction to Lesson

This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Booklet containing the following items	Page
Introduction to lesson	1
Overview and objectives	3
Pretest	4
Lesson abstract and content outline	7
Lesson text	9
Practice Exercise	13
Post-test	16

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The preceding lesson introduced a series of lessons dealing with the operations phase of the proposal development process. Specifically, the lesson focused on project goal definition through the use of an initial meeting of the proposal development team.

This lesson is the second dealing with the operations phase, focusing on management by the proposal director of the effort to discover alternative approaches to achieve the stated goals and objectives of the proposed project. When matched with selection criteria, a "satisfactory" approach may be chosen.

Project "support" activities, such as evaluation, auditing, sharing information, and involving the community will be discussed in the next lesson.

OBJECTIVES

The student in completing this lesson should be able to guide the proposal team in selecting a satisfactory approach for a proposed project. The specific objectives of the lesson are as follows:

1. The student should be able to list the management tasks the proposal director performs in the operations phase of a proposal development project.

2. The student should be able to outline a procedure to be followed by a proposal team in generating alternative approaches and selecting a most satisfactory approach for a proposed project.

Pretest

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Directions: Circle the letter before the activity below which is not a likely procedure or method of exploring alternative project approaches in proposal development.

1. A. Setting up an experiment comparing two methods
   B. Reading a journal article which deals with the problem
   C. Looking at records from previous projects
   D. Interviewing a university professor

Place a T (True) or F (False) on the line before the statements below.

2. ____ The best way to explore alternative approaches is to divide the work among team members.

3. ____ Once an approach has been chosen, information about other alternative approaches should be destroyed.

Place the following steps in exploring alternative approaches in the proper order of accomplishment by placing 1, 2, 3, etc. on the lines below.

4. ____ A. Analysis of information
   ____ B. Securing the information
   ____ C. Synthesis of information
   ____ D. Selecting the best approach
   ____ E. Defining content to be explored

Circle the letters of as many of the factors listed below as might be included in a reassessment of resources useful in achieving the proposed project's objectives.

5. A. Time available for various approaches
   B. Capabilities of the staff
   C. Availability of an auditor
   D. Financial help likely to be obtained
   E. Support of professional groups
   F. Physical facilities available

For Questions 6-9 mark T (True) if the task listed is one which might be undertaken by the proposal director during the ongoing exploration of alternatives. Mark F (False) if it is not.

6. _____ Guide and motivate team members
7. _____ Help obtain consultant help and arrange for their payment
8. _____ Set up the audit plan
9. _____ Monitor proposal development budget deviations

Complete the sentence below on the line provided.

10. Selecting an approach is essentially a matter of comparing various possible approaches against certain_____.

Turn the page and check your answers.

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 5 Pretest are listed down the right margin. Check your correct responses. All parts of questions 4 and 5 must be as shown to be counted correct.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of the selection of a project approach and should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation by turning to the lesson text on page 9.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of the selection of a project approach and should read the lesson abstract and content outline on page 7. Then, if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 13. If you do desire to read the content presentation, turn to page 9.

Multiple Choice

1. (A) B C D

True/False

2. F

3. F

Ordering

4. A 3
   B 2
   C 4
   D 5
   E 1

Multiple Choice

5. (A)(B)C(D)E(F)

True/False

6. T

7. T

8. F

9. T

Completion

10. criteria

Number Correct=_____

Lesson Abstract and Content Outline

ABSTRACT

After setting goals for the project, consideration must be given to what approach will be taken to achieve those goals. Various alternatives can be explored by looking at educational literature and the experience of other projects, plus consulting experts. It is the proposal director's task to manage and supervise the activities involved in the search for alternatives as well as assisting in the search. Once a number of alternatives have been identified for consideration, a choice must be made for the project by devising a list of selection criteria and comparing each alternative to the criteria. The alternative which best satisfies the selection criteria is the one to be employed as an approach to achieving the goals of the proposed project.

CONTENT OUTLINE

A. As the operation phase of proposal development continues, possible approaches and strategies to achieve the desired goals and objectives are considered, and a choice of a satisfactory approach is made. This activity is critical to the creation of the Technical Plan Component of the proposal document.

B. The proposal director organizes a search for data to discover all possible alternatives, using sources such as: professional books and magazines; existing projects in local schools and districts; and knowledgeable individuals, including teachers, administrators, and consultants.

1. The proposal director oversees the search, securing, analyzing, and synthesizing of information.
2. The information area desired should be carefully specified.

C. Throughout the operations phase, the proposal director must:

1. guide and motivate team members,
2. facilitate access to resource people and vital documents,
3. chair periodic staff meetings,
4. arrange for payment of consultants,
5. obtain release time for staff members,
6. monitor deviations from the proposal development plan,
7. help solve problems discovered through this monitoring.

D. Selecting the best approach is accomplished through comparing alternative approaches against a list of selection criteria.

1. The demands of a particular approach must be matched against school district resources (time, space, money), capabilities of staff, and obtainable extra funds.
2. The "best" or most satisfactory approach best satisfies the selection criteria while capitalizing on available resources, and minimizing limitations.

Lesson Text

Introduction

By now, the boundary of the project and its goal and objectives have been specified. At this point the proposal team is ready to consider the possible approaches, or strategies, they might take to achieve the objectives. The approach finally chosen will answer the question: " What steps are needed to accomplish the objectives?" It is the same question asked when planning a vacation trip to Podunk or when planning a way of asking the boss for a raise. For example, you can reach Podunk by car, train, bus, or plane. Which approach is best? You can use either a direct or indirect approach with the boss when appealing for a raise. Which approach is best?

The approach chosen represents the procedures of the proposed project and is usually specified in detail in the procedures section of a typical proposal document. It corresponds with the task and sub-task levels in the proposed project's work breakdown structure. The goal and major objectives (missions) already specified correspond with the goal and mission levels in the work breakdown structure.

Gathering Information

The director of the proposal development team will have to make certain that all possible alternative approaches for achieving the project goal are explored, so that the final choice can be the best possible. The sources consulted for this type of exploration are (1) the "literature," i.e., professional books, magazines, journals, etc., (2) existing projects within your own or other schools or school districts, (3) knowledgeable individuals, i.e., experienced teachers/administrators, intermediate unit or state department personnel, university consultants, etc.

Knowing the resources that can be consulted, the choice is now one of attacking all three sources at once by dividing up the work among the team members or of attacking each source one at a time. Whichever approach is chosen, the proposal director will have to oversee the necessary steps of securing the information, analyzing and synthesizing it, and finally selecting the most satisfactory approach. The word "satisfactory" is used here to convey the idea that no ideal approach will probably be found.

It is important to carefully define the content area to be explored. There is often too much information available to explore, considering the limited amount of proposal staff available. For example, it would be unwise to simply specify the area of "reading" for exploration. Is it critical reading or recreational reading? For 3rd graders, teen-agers or adults? To be done individually or in groups?

The Proposal Director's Role

Once the various tasks involved in this exploration are in progress, the proposal director will need to involve himself in various management activities. Some of these are:

- o guide and motivate team members in the performance of their tasks via individual or group conferences
- o help arrange and/or coordinate school district visitations, interviews with knowledgeable individuals both within and outside of the school district, and provide accessibility to documents for inclusion in the literature review
- o chair periodic staff meetings
- o arrange for the payment of consultants
- o obtain released time for some staff members
- o monitor schedule, budget, and performance deviations from the proposal development plan

- o help solve problems discovered while monitoring the development of the proposal by
  - a. helping on task
  - b. re-assigning task responsibilities
  - c. assigning additional personnel to the task
  - d. obtaining consultant help
  - e. contacting the funding agency for clarification.

Most of the above management activities carried out by the proposal director are performed throughout the operational control phase; therefore, they will not be repeated in subsequent lessons covering this phase.*

Selecting the Best Approach

When all, or nearly all, possible approaches useful in achieving the project objectives have been uncovered, it will be necessary to judge each alternative against the existing resources of the school district, the capabilities of its staff to implement the proposed approach, and the additional resources to be obtained through the funding of the proposed project. Resources include such things as time, space, and money. All of these resources may impose serious constraints, or limits, on the proposed project. Staff capabilities are a most important resource to assess. You will want to analyze what useful experiences or qualifications each proposed project member has and, therefore, what human limitations exist for the project. This kind of assessment process will help determine which of the possible approaches is the best one for your school district.

---

* Many of these activities are typical of management activities conducted in the operations phase of any project. For further information, see Lessons 9, 10, and 11 of EPMIS Module 2 Project Management Basic Principles.

As the existing resources are analyzed and capabilities and limitations appear, criteria for the selection of a project approach begin to be generated. When the list of selection criteria is complete, each alternative generated is compared with the criteria. The "best" approach will, of course, be the one which best satisfies the criteria, while also capitilizing on the district's resources and minimizing its limitations.

At this point you may believe that the information put together by the proposal development team about alternative approaches is now reduced to the category of "useless." However, this information can and often does appear as supportive material in an appendix to the Technical Plan section of the final proposal document. So, file such information for future use.

Summary

The proposal development team should generate a number of alternative approaches by exploring three sources: (1) the literature, (2) existing projects within schools or school districts, and (3) knowledgeable individuals. The criteria generated for selection of one of those alternative approaches is largely dependent on the capabilities and limitations of existing school district resources and the proposed project resources such as personnel, space, time, and money. There is no possible way of knowing whether the best choice of project approach was, or indeed, can be made. Careful consideration is in order, for though several of the alternatives may work, many other alternatives may not.

Lesson 5--Proposed Project Approach

Exercise A

Directions: Read and answer the questions below. When completed turn the page.

This exercise asks you to choose certain points which might be valuable in writing the rationale for a project to install the IPI Mathematics Program in Sanders Middle School.

Given below are a number of points proposed by your staff which they think might be used as a part of the rationale to justify the approach chosen (i.e., the IPI Math Program). To complete this exercise, you are to indicate next to each point whether or not it should be included as being relevant to the rationale section. Use the following key:

1=Definitely should be included in the rationale
2=Possibly should be included in the rationale
3=Definitely should not be included in the rationale

The points brought up by the project staff are as follows:

____1. The superintendent of schools has had training in math education.

____2. Similar projects in other cities which have used IPI math can provide an experience factor.

____3. There is present in the school system a teacher with training in IPI Math in another system.

____4. Large scale computer facilities are available in the school system for instructional and accounting purposes

____5. The president of the Parent-Teacher Association in the school district favors the IPI approach.

____6. University consultants have given favorable opinions of the IPI Math Program.

____7. Research studies on the program have indicated favorable results.

____8. The physical layout of the school makes it easier to use the team teaching approach characteristic of the IPI Math program.

Exercise A--Solution

Directions: The correct answers to the practice exercise are given below. Check your work and then turn the page.

This exercise asks you to choose certain points which might be valuable in writing the rationale for a project to install the IPI Mathematics Program in Sanders Middle School.

Given below are a number of points proposed by your staff which they think might be used as a part of the rationale to justify the approach chosen (i.e., the IPI Math Program). To complete this exercise, you are to indicate next to each point whether or not it should be included as being relevant to the rationale section. Use the following Key:

1=Definitely should be included in the rationale
2=Possibly should be included in the rationale
3=Definitely should <u>not</u> be included in the rationale

The points brought up by the project staff are as follows:

3 1. The superintendent of schools has had training in math education.

1 2. Similar projects in other cities which have used IPI Math can provide an experience factor.

2 3. There is present in the school system a teacher with training in IPI Math in another system.

3 4. Large scale computer facilities are available in the school system for instructional and accounting purposes.

2 5. The president of the Parent-Teacher Association in the school district favors the IPI approach.

1 6. University consultants have given favorable opinions of the IPI Math Program.

1 7. Research studies on the program have indicated favorable results.

2 8. The physical layout of the school makes it easier to use the team teaching approach characteristic of the IPI Math Program.

Directions and Choices Following the Practice Exercise

Based upon the self-evaluation of your performance on the exercise, you have either:

A. acceptably satisfied the objective of guiding a proposal team in the selection of a proposed project approach, and should now turn to the post-test found on page 16.

References for additional reading are listed on page 16 of the Module Manual.

B. not satisfied the objective, and should read the section of the lesson text on selecting the best approach beginning on page 11 and then rework Exercise A on page 13.

Post-Test

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Circle the letters of as many of the factors listed below as might be included in a reassessment of resources useful in achieving the proposed project's objectives.

1. A. Time available for various approaches
   B. Capabilities of the staff
   C. Availability of an auditor
   D. Financial help likely to be obtained
   E. Support of professional groups
   F. Physical facilities available

Directions: Circle the letter before the activity below which is not a likely procedure or method of exploring alternative project approaches in proposal development.

2. A. Setting up an experiment comparing two methods
   B. Reading a journal article which deals with the problem
   C. Looking at records from previous projects
   D. Interviewing a university professor

Complete the sentence below on the line provided.

3. Selecting an approach is essentially a matter of comparing various possible approaches against certain _____.

Place a T (True) or F (False) on the line before the statements below.

4. ____ The best way to explore alternative approaches is to divide the work among team members.

5. _____ Once an approach has been chosen, information about other alternative approaches should be destroyed.

For Questions 6-9 mark T (True) if the task listed is one which might be undertaken by the proposal director during the ongoing exploration of alternatives. Mark F (False) if it is not.

6. ____ Set up the audit plan
7. ____ Monitor proposal development budget deviations
8. ____ Help obtain consultant help and arrange for their payment
9. ____ Guide and motivate team members

Place the following steps in exploring alternative approaches in the proper order of accomplishment by placing 1, 2, 3, etc., on the lines below.

10. ____ A. Analysis of information

____ B. Securing the information

____ C. Synthesis of information

____ D. Selecting the best approach

____ E. Defining content to be explored

Turn the page and check your answers.

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 5 Post-Test are listed down the right margin. Check your correct responses. All parts of Questions 2 and 10 must be as shown to be counted correct.

Directions: If you answered eight or less questions correctly, you have not acceptably demonstrated knowledge of project approach selection and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 9. .*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of project approach selection. References for additional reading are listed on page 16 of the Module Manual.

Multiple Choice

1. (A) B C D
2. A B C D F

Completion

3. criteria

True/False

4. F
5. F
6. T
7. F
8. T
9. T

Ordering

10. a. 3
    b. 2
    c. 4
    d. 5
    e. 1

Number Correct=_____

Termination Instructions

This lesson on proposed project approach is now completed. Lesson 6 entitled Proposed Project Support Activities is the next lesson in the sequence

Lesson 6

Proposed Project Support Activities

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The Ohio State University

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EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 6

Proposed Project Support Activities

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Introduction to Lesson

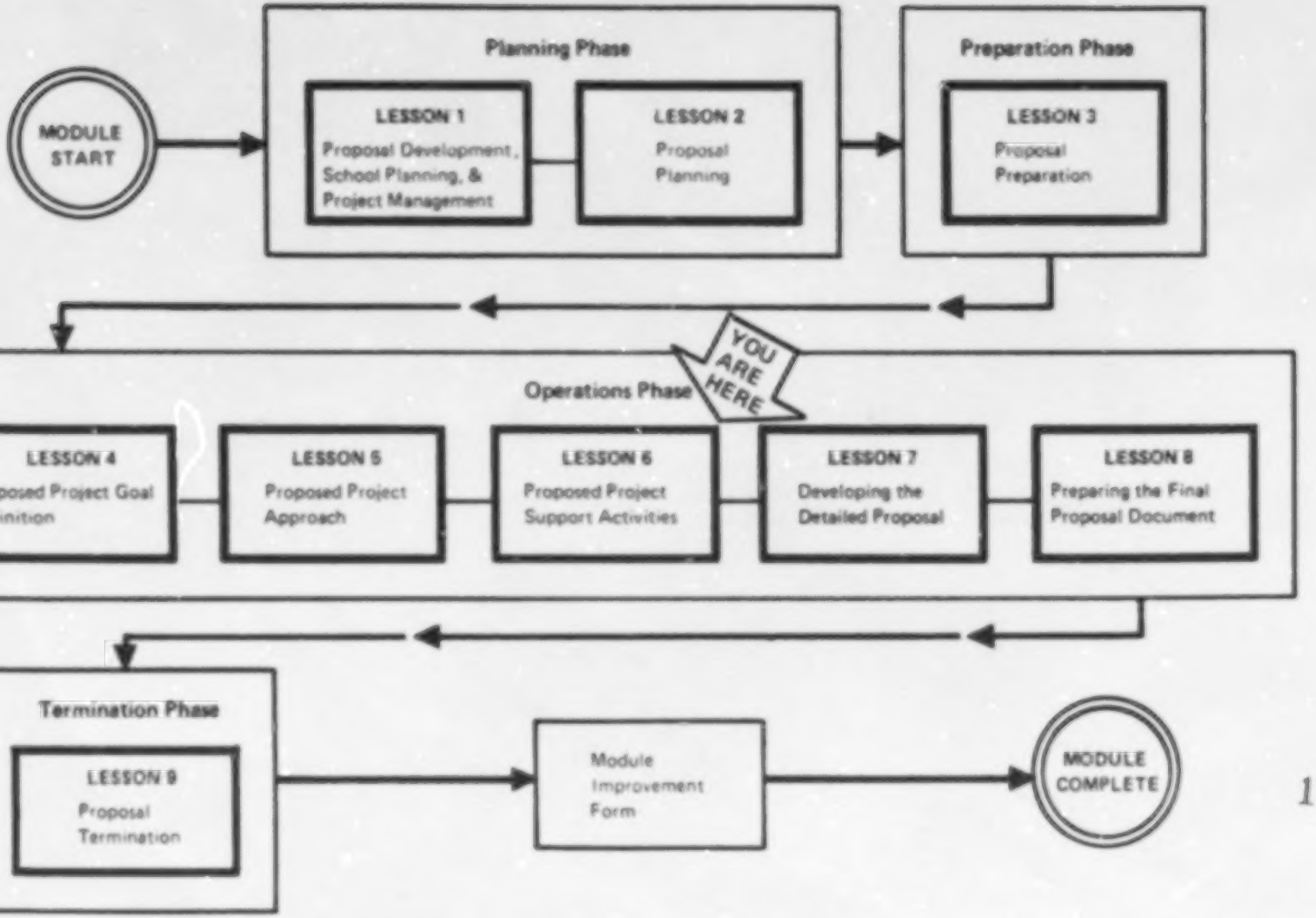
This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Page

Booklet containing the following items :

Introduction to lesson 1
Overview and objectives. 3
Pretest. 5
Lesson abstract and content outline. 8
Lesson text. 10
Practice exercise. 16
Post-test. 26

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

Discovering alternative methods for realizing project goals and objectives, then choosing a satisfactory approach was the topic of the last lesson.

This lesson is concerned with detailing other activities of the proposed project which will support the activities of the selected approach to achieving the project goal. The activities or elements (evaluation, educational program audit, dissemination, and community involvement), are part of the Technical Plan component of the proposal document.

The next lesson is concerned with the development of the Management and Cost Plan components of the proposal document.

OBJECTIVES

The student, in completing this lesson, should be able to describe the basic elements of the evaluation, dissemination and community involvement, and program audit plans for a proposed project. The specific objectives of the lesson are as follows:

1. The student should be able to describe the features to be included in the development of the evaluation plan for inclusion in the proposal document.

2. The student should be able to describe the features to be included in the development of the dissemination plan for inclusion in the proposal document.

3. The student should be able to describe various means for involving the community and/or non-public schools in proposal development and proposed project activities.

4. The student should be able to define the program audit concept and describe procedures involved in initiating a program audit for the proposed project.

Pretest

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Complete the sentences below on the line provided.

1. The basic function of an evaluation plan is to _____

   _____

2. The basic function of a program audit is to _____

   _____

Answer T (True) or F (False) to each question below.

3. ____ One way to help demonstrate that the project has the ability to conduct an evaluation is to name the persons responsible for it and describe their skills in the proposal.

4. ____ An initial step in a program audit is a pre-audit critique.

5. ____ A program auditor should be specially trained and certified as such.

6. ____ A dissemination plan usually specifies the audiences that will receive information, but does not normally include a listing of the specific means of distribution to be used.

7. ____ A dissemination plan is essentially the same as a management information system in that it is an aid to project decision-making.

Circle the letters before as many items as apply for the questions below.

8. What elements might be included in an evaluation plan?

   A. A decision responsibility guide
   B. A listing of the tests to be used
   C. Procedures for reporting data in a final report
   D. Data analysis techniques
   E. A listing of the dates and locations of test administrations
   F. A financial audit plan
   G. A definition of the performance areas

9. A dissemination plan might help to distribute information to what persons or groups?

   A. Teachers in local schools not directly involved in the project operations
   B. Local community groups
   C. The personnel working for the project
   D. The project director
   E. A professional person in another state doing research in the project's problem field

10. What groups might be included as targets of a community involvement plan?

   A. Non-public schools personnel
   B. University consultants
   C. Parents
   D. The teachers' union
   E. A local community action agency
   F. The school board

Turn the page and check your answers.

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 6 pretest are listed down the right margin. Check your correct responses.

NOTE: On questions 8-10, you must answer each item correctly. That is, you may not have checked any choice which should not have been checked, or have omitted marking a choice which should have been marked. It must be completely correct for the question to be counted as correct.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of project support activities and should read the lesson abstract and content outline on pages 8 and 9. Then begin the content presentation by turning to the lesson text on page 10.

Directions: If you answer nine or more questions correctly, you have acceptably demonstrated knowledge of project support activities and should read the lesson abstract and content outline on page 8. Then, if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 16. If you do desire to read the content presentation, turn to page 10.

Completion

1. detail the procedures to be employed in assessing whether the project has achieved its goal and objectives.

2. verify or attest the results of the evaluation conducted during, or at the end of, the project.

True/False

3. T

4. T

5. T

6. F

7. F

Matching

8. A (B) (C) (D) (E) F (G)

9. (A) (B) C D (E)

10. (A) B (C) D (E) F

Number Correct= ____

Lesson Abstract and Content Outline

ABSTRACT

In addition to organizing the sections of a proposal that were covered previously, the proposal director must consider other sections of the proposal such as (1) the evaluation design, (2) the dissemination plan, (3) the audit plan, and (4) a community involvement plan. The evaluation design shows how the project plans to assess the achievement of its objectives. It should include a definition of the performance areas, a means of collecting, analyzing, and reporting data, the instrumentation involved, and the names of the persons responsible for carrying it out. The proposal director may also have to arrange for an audit of the project to verify and attest the results of the evaluation.

The proposal's dissemination plan is designed to distribute information on the project to interested audiences. Such a plan should include the goals and activities of the dissemination, the audiences involved, the information to be disseminated, and the media to be used, along with the names of the persons responsible for carrying it out. The community involvement section describes the proposed mechanisms for involving community groups (such as parents, local organizations, and non-public schools) in the activities of the project.

CONTENT OUTLINE

A. The technical plan of the proposal document includes provisions for "project support" activities: evaluation, information dissemination, involvement of community and non-public schools, and (frequently) program audit.

B. School district specialists or outside consultants may be hired to evaluate the project's achievement of goal and objectives, and design a program including: a definition of performance areas;

descriptions of instruments to collect data; collection, analysis, and reporting procedures; persons responsible for the evaluation plan.

1. The definition of performance areas includes both process and product.

2. The instrumentation, whether simple (written report) or sophisticated (standardized test), should include a rationale for its use.

3. The data collection, analysis, and reporting procedures sections should describe procedures and responsibilities in detail.

C. An audit (a study to verify the results of the evaluation) may be required.

1. The proposal director is responsible for arranging the pre-audit critique, or preliminary review of the evaluation plan.

2. Audit personnel must be put under contract, and audit program outlines secured from them.

D. A plan for disseminating information about the project should include: audiences sought, media to be used, information to be released, and task assignments.

E. Community involvement is highly desirable, and detailed plans should be made.

1. Invite active community members to proposal development team meetings.

2. Solicit advice and aid from community organizations.

3. Include evidence of community involvement in the proposal document.

4. Plans should be made for continued community involvement during project implementation.

Lesson Text

Introduction

The previous lesson dealt with the management activities associated with a major element or section of the Technical Plan--that concerning the goal, objectives, and approach or procedure. There are several additional sections usually included in the Technical Plan. These are an evaluation plan, a dissemination plan, and a community and non-public school involvement activities plan. Arrangements for auditing the evaluation and management plan will have to be made if the guidelines require that it be done. Evaluation, auditing, dissemination, and community and non-public school involvement activities are integral parts of most project efforts, and consume project resources such as time and manpower. These activities (sometimes referred to as project support activities) should be carefully planned along with the other project tasks.

Evaluation Plan

The evaluation section provides a plan for assessing whether the project has achieved its goal and objectives. Since evaluation can require special skills, the proposal director and proposal development team may want to solicit assistance from the local school system's research and evaluation specialists or from outside consultants. These specialists will be able to devise an evaluation plan for the proposed project or assist the proposal team in doing so. This lesson concentrates primarily on the features to be included in the development of the evaluation plan for inclusion in the proposal document.*

*The Administering for Change Program of Research for Better Schools, Inc., is currently developing a School Evaluation Kit which provides guidance to school administrators in the planning and development of suitable strategies for the evaluation of curricular programs.

Most evaluation plans or designs have the following basic features:

- o a definition of the performance areas and/or a statement of objectives and goals.
- o a description of the instruments used in connection with each objective.
- o a description of data collection, analysis, and reporting procedures
- o a list of those persons responsible for the evaluation plan.

The definition of the performance areas includes both the process, and product or goals of the project, whether these be student instructional objectives, attitudes, criteria for a product, or other goals. It is required that processes or activities occurring during the course of the project also be assessed.

The instrumentation or measurement technique used for each objective can be very simple or quite sophisticated. Among the instruments specified might be a standardized test, an observer's checklist, a locally-made questionnaire, or simply a written report from the project worker. A description of each existing or proposed instrument used, however, should be included in the proposal. There should also be justification as to why these particular instruments were chosen.

The data collection section should include such details as how, when, by whom, and from whom the data will be collected. The analysis section will include those statistical procedures to be employed for making interpretations of the data. The reporting procedures will describe how the data is to be reported to the project staff, other persons in the school system, and the community, and the means for storing it for future use.

In order to demonstrate the project's ability to conduct an evaluation,

it is often necessary to name the person(s) responsible for the evaluation plan and to specify their experience and skills. It is up to the proposal director to see that the necessary information has been collected from any evaluation specialist who assists in this effort.

The proposal director also must be sure that the written evaluation plan is clear and concise. Finally, the evaluation plan should be checked against the requirements for evaluation, if any, put forth by the funding or approving agency.

The Educational Program Audit

In addition to developing an evaluation plan or design for the proposed project, the school district, state or federal agency to which the proposal is to be submitted may either request or require that the project be subjected to an "educational audit". The educational audit concept is relatively new to the field of education. This type of audit should not be confused with the normal fiscal or financial audit. Basically, it is concerned with verifying or attesting the results of the evaluation conducted during and at the end of the project. General procedures for the conduct of an audit, including examples of audit contracts and plans, are contained in the references listed in the Module Manual. Consult your proposal guidelines to determine if there are any educational audit requirements.

The Dissemination Plan

A dissemination plan for diffusing information about activities and results should be included in the proposal. This plan is designed to regulate the distribution of information to interested community groups and individuals.

The project dissemination plan should include the following features:

- o Dissemination activities are designated for each stage of the project.
- o Audiences are identified.
- o Information to be released is specified.
- o Media used for dissemination are named.
- o Person(s) responsible for dissemination are named.

If the funding agency has provided guidelines for the dissemination plan, these should be carefully followed. In addition, it is important to show that a wide distribution of information to interested community groups and individuals has been provided for, as well as to show that the school system's capabilities for dissemination through the use of its regular publications, the district media-communications specialist, regular public meetings, and other established means will be utilized.

Community Involvement

It is often advantageous to have members of the community become involved in both the proposal development project and the proposed project. It should be noted that community involvement is a high priority item with many funding agencies. Even if an outside agency is not involved in funding the proposal, it might be profitable to involve the

community in proposal development in order to obtain their commitment to the proposed project. In many circumstances the proposed project will benefit from the inputs of the community.

Mechanisms for involving the community in proposal development might include inviting active community members to a meeting with the proposal development team, writing letters soliciting help and advice from various community organizations, presenting a plan to an esteemed member of the school community and asking for his or her comment, and soliciting written endorsement. It is usually advisable, however, to work through recognized community organizations. Selected items indicative of community involvement in proposal development, such as letters, dates of meetings, tapes of meetings, written records of meetings, and endorsements might be included in the proposal document.

Community involvement in the proposed project, once it is implemented, usually occurs in the form of advisory groups or individuals. It is possible, however, that the community may be involved more directly in some project activities. Such involvement should be carefully planned and detailed in the proposed project plans. It may also be advantageous to highlight this planned involvement in the community involvement section of the proposal document.

Input from non-public schools should not be forgotten. They have an investment in the community and may be able to provide some significant contributions in ideas and personnel, or in actual physical space in which to carry out some proposed project activities.

The actions taken to involve the community will not only help make the schools responsive to the needs of the community, but will gain commitment from parents, increase the visibility of school efforts, and involve parents in their children's education, as well as gain input and resources for future innovations.

A word of caution is needed here. The proposal director should become familiar with laws regulating the involvement of non-public schools in his state. He should also realize that such involvement may meet with active disapproval from various sections of the community.

Summary

The technical sections of the proposal document discussed in this lesson were the evaluation plan, the educational audit, the dissemination plan, and the community involvement section. Each of these activities are integral parts of any project effort and consume resources such as time and manpower. Therefore, they require careful consideration and planning.

When all of the sections discussed in this and the two previous lessons are prepared, the Technical Plan will be nearly complete.

Exercise A

Directions: For this exercise, you will be presented with the abstracts (i.e., condensed versions) of paragraphs from a proposal which is being written to install IPI Math in the Sanders Middle School. Beneath each paragraph are a number of criteria for you to use in judging the adequacy of that paragraph. You are also to suggest some other ways in which each paragraph might be weak. When finished with all sections, turn the page for the solution.

1. Evaluation Plan Paragraph

The paragraph below deals with the evaluation of one objective. It has been condensed, somewhat, from the original project proposal. Below the paragraph are a number of qualities which a good evaluation plan should exhibit. Place an "X" by each quality which is not displayed by the paragraph.

Objective C-3 states "Aide training--Teacher aides will be given training as to the usage of the IPI materials and their duties as aides. Teacher aides will display an appropriate knowledge of the materials, their duties, and other relevant items. This will be evaluated by the administration of a locally-made test constructed by the project staff towards the end of the training period for the aides, approximately on April 15. The tests will be administered by the assistant project director. Scores on the test will show at least an 80 per cent competence level for each aide to be considered passing. Aides not passing will receive further training and retesting."

_____a. A precise definition of the performance to be measured.

_____b. A specification of the target group to be evaluated.

_____c. The general techniques to be used in evaluation are specified.

_____d. Any special conditions for the evaluation are noted.

_____e. The instruments to be used are specified.

_____f. The dates the instruments will be available are given.

_____g. The person(s) who will collect the data for evaluation are named.

_____h. The date for the collection of data is given.

____i. The data analysis techniques are described.

____j. The method of reporting the data is described.

____k. All audiences who are to receive the reports of the data are named.

List below at least two other ways in which the evaluation plan given for the above objective is deficient.

a. _____

_____

b. _____

_____

c. _____

_____

d. _____

_____

e. _____

_____

2. Dissemination Paragraph

Below is a condensed version of the dissemination plan of a proposal. Indicate, as in previous sections, those qualities which are missing from the plan.

Dissemination Plan. "Dissemination for this project will be coordinated with the school system's public information officer. Dissemination will be directed primarily at the local community, especially the parents of the children involved and neighborhood groups, and at other interested professionals in the teaching field. Information to be disseminated will be confined primarily to the test performance of the students involved in the program and results of the IPI program. The project director will primarily be responsible for the dissemination plan."

____a. Dates for the dissemination plan are specified.

____b. Costs of the dissemination plan are specified.

____c. The goals of the dissemination are specified.

____d. Audiences for the dissemination are named.

____e. The person responsible for the dissemination is named.

____f. Provisions for feedback from the dissemination are made.

____g. All the media to be used are named.

____h. The strategies to be used in the dissemination are described.

____i. Provisions are made for disseminating information throughout the life of the project.

Indicate below at least one other serious criticism which you could make of this dissemination plan.

3. Community Involvement Paragraph

Read the condensed version of the community involvement section from an IPI Math proposal below. Mark the qualities which the community involvement plan lacks.

Community Involvement Plan. "There are two basic goals for the community involvement plan: first, to involve parents, particularly as teacher aides for the IPI Math program itself (although not exclusively by this method); and second, to involve non-public school students in the area of the public schools served by the IPI program. Parents will have advisory capacity through the teacher aides and various reports will ask for their feedback. Parents will also have extensive opportunity for conferences with teachers in order to gain their involvement. Participation will be made available to non-public school students, who will be bussed to the nearest public school to take advantage of such instruction."

____a. The extent of involvement of community groups is made clear.

____b. The groups to be involved are named.

____c. The goals of the community involvement are spelled out.

____d. The mechanism for involving parents is described.

____e. The mechanism for involving non-public schools is clear.

____f. It is clear that funds will not be used for worship purposes unconnected with the text.

____g. Activities will take place on public property whenever possible.

____h. It is clear what person will coordinate action with the community groups.

What other criticism might you make of the community involvement plan? (Name at least one serious deficiency.)

Exercise A--Solution

Directions: The correct answers to the practice exercise are given below. Check your work and then turn the page.

1. Evaluation Plan Paragraph

The paragraph below deals with the evaluation of one objective. It has been condensed, somewhat, from the original project proposal. Below the paragraph are a number of qualities which a good evaluation plan should exhibit. Place an "X" by each quality which is not displayed by the paragraph.

Objective C-3 states "Aide training--Teacher aides will be given training as to the usage of the IPI materials and their duties as aides. Teacher aides will display an appropriate knowledge of the materials, their duties, and other relevant items.' This will be evaluated by the administration of a locally-made test constructed by the project staff towards the end of the training period for the aides, approximately on April 15. The tests will be administered by the assistant project director. Scores on the test will show at least an 80 per cent competence level for each aide to be considered passing. Aides not passing will receive further training and retesting."

__X__ a. A precise definition of the performance to be measured.

_____ b. A specification of the target group to be evaluated.

_____ c. The general techniques to be used in evaluation are specified.

__X__ d. Any special conditions for the evaluation are noted.

_____ e. The instruments to be used are specified.

__X__ f. The dates the instruments will be available are given.

_____ g. The person(s) who will collect the data for evaluation are named.

_____ h. The date for the collection of data is given.

__X__ i. The data analysis techniques are described.

__X__ j. The method of reporting the data is described.

__X__ k. All audiences who are to receive the reports of the data are named.

List below at least two other ways in which the evaluation plan given for the above objective is deficient.

a. No definition of the construction procedures for the test.

b. No indication of the cost of the evaluation plan for this objective.

c. No baseline data for the aides' performance is given.

d. The instrument apparently will not be pilot-tested.

e. No date for reporting evaluation results.

2. Dissemination Paragraph

Below is a condensed version of the dissemination plan of a proposal. Indicate, as in previous sections, those qualities which are missing from the plan.

Dissemination Plan. "Dissemination for this project will be coordinated with the school system's public information officer. Dissemination will be directed primarily at the local community, especially the parents of the children involved and neighborhood groups, and at other interested professionals in the teaching field. Information to be disseminated will be confined primarily to the test performance of the students involved in the program and results of the IPI program. The project director will primarily be responsible for the dissemination plan."

__X__ a. Dates for the dissemination plan are specified.

__X__ b. Costs of the dissemination plan are specified.

__X__ c. The goals of the dissemination are specified.

____ d. Audiences for the dissemination are named.

____ e. The person responsible for the evaluation is named.

__X__ f. Provisions for feedback from the dissemination are made.

__X__ g. All the media to be used are named.

__X__ h. The strategies to be used in the dissemination are described.

____ i. Provisions are made for disseminating information throughout the life of the project.

Indicate below at least one other serious criticism which you could make of this dissemination plan.

a. Not all potential audiences have been identified.

b. The information to be disseminated seems to be excessively limited.

c. No evaluation of the dissemination is stated or implied.

d. Target audiences, while named, are not described in any detail.

e. The dissemination plan does not seem to have any goal of gaining acceptance, changing opinion, or eliciting reactions.

3. Community Involvement Paragraph

Read the condensed version of the community involvement section from an IPI Math proposal below. Mark the qualities which the community involvement plan lacks.

Community Involvement Plan. "There are two basic goals for the community involvement plan: first, to involve parents, particularly as teacher aides for the IPI Math program itself (although not exclusively by this method); second, to involve non-public school students in the area of the public schools served by the IPI program. Parents will have advisory capacity through the teacher aides and various reports will ask for their feedback. Parents will also have extensive opportunity for conferences with teachers in order to gain their involvement. Participation will be made available to non-public school students, who will be bussed to the nearest public school to take advantage of such instruction."

____a. The extent of involvement of community groups is made clear.

____b. The groups to be involved are named.

____c. The goals of the community involvement are spelled out.

____d. The mechanism for involving parents is described.

____e. The mechanism for involving non-public schools is clear.

__X__f. It is clear that funds will not be used for worship purposes unconnected with the text.

____g. Activities will take place on public property whenever possible.

__X__h. It is clear what person will coordinate action with the community.

What other criticism might you make of the community involvement plan? (Name at least one serious deficiency.)

a. More involvement of parents could be obtained through an advisory council; "through the aides" is a little inefficient.

b. Only the parents and non-public schools are mentioned, but there may be other community groups.

c. There is no way of evaluating the community involvement mentioned or implied.

d. No definite statement is made about exactly how the non-public school students will participate.

e. Is such bussing of non-public school students legal and if so, under what regulations?

Directions and Choices Following the Practice Exercise

Based upon the self-evaluation of your performance on the exercise, you have either:

A. acceptably satisfied the objective of describing the basic elements of project support activity plans and should now turn to the post-test found on page 26.

References for additional reading are listed on page 16 of the Module Manual

B. not satisfied the objective, and should read the lesson text beginning on page 10 and then rework Exercise A on page 16.

Post-Test

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Complete the sentences below on the line provided.

1. The basic function of an evaluation plan is to _____

   _____

2. The basic function of a program audit is to _____

   _____

Answer T (True) or F (False) to each question below.

3. A dissemination plan is essentially the same as a management information system in that it is an aid to project decision-making.

4. One way to help demonstrate that the project has the ability to conduct an evaluation is to name the persons responsible for it and describe their skills in the proposal.

5. A dissemination plan usually specifies the audiences that will receive information, but does not normally include a listing of the specific means of distribution to be used.

6. An initial step in a program audit is a pre-audit critique.

7. A program auditor should be specially trained and certified as such.

Circle the letters before as many items as apply for the question below.

8. What groups might be included as targets of a community involvement plan?

   A. Non-public schools personnel
   B. University consultants
   C. Parents
   D. The teachers' union
   E. A local community action agency
   F. The school board

9. A dissemination plan might help to distribute information to what persons or groups?

   A. Teachers in local schools not directly involved in the project operations
   B. Local community groups
   C. The personnel working for the project
   D. The project director
   E. A professional person in another state doing research in the project's problem field.

10. What elements might be included in an evaluation plan?

   A. A decision responsibility guide
   B. A listing of the tests to be used
   C. Procedures for reporting data in a final report
   D. Data analysis techniques
   E. A listing of the dates and locations of test administrations
   F. A financial audit plan
   G. A definition of the performance areas

Turn the page and check your answers.

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 6 post-test are listed down the right margin. Check your correct responses.

NOTE: On questions 8-10, you must answer each item correctly, that is, you may not have checked any choice which should not have been checked, or have omitted marking a choice which should have been marked. It must be completely correct for the question to be counted as correct.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of project support activities and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 10..*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of project support activities. References for additional reading are listed on page 16 of the Module Manual.

Termination Instructions

This lesson on project support activities is now completed. Lesson 7 entitled, "Developing the Detailed Proposal" is the next lesson in the sequence.

Completion

1. verify or attest the results of the evaluation conducted during, or at the end of, the project.

2. detail the procedures to be employed in assessing whether the project has achieved its goal and objectives.

True/False

3. F

4. T

5. F

6. T

7. T

Matching

8. (A) B (C) D (E) F

9. (A) (B) C D (E)

10. A (B) (C) (D) (E) F (G)

Number Correct= _____

Lesson 7

Developing the Detailed Proposal

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EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 7

Developing the Detailed Proposal

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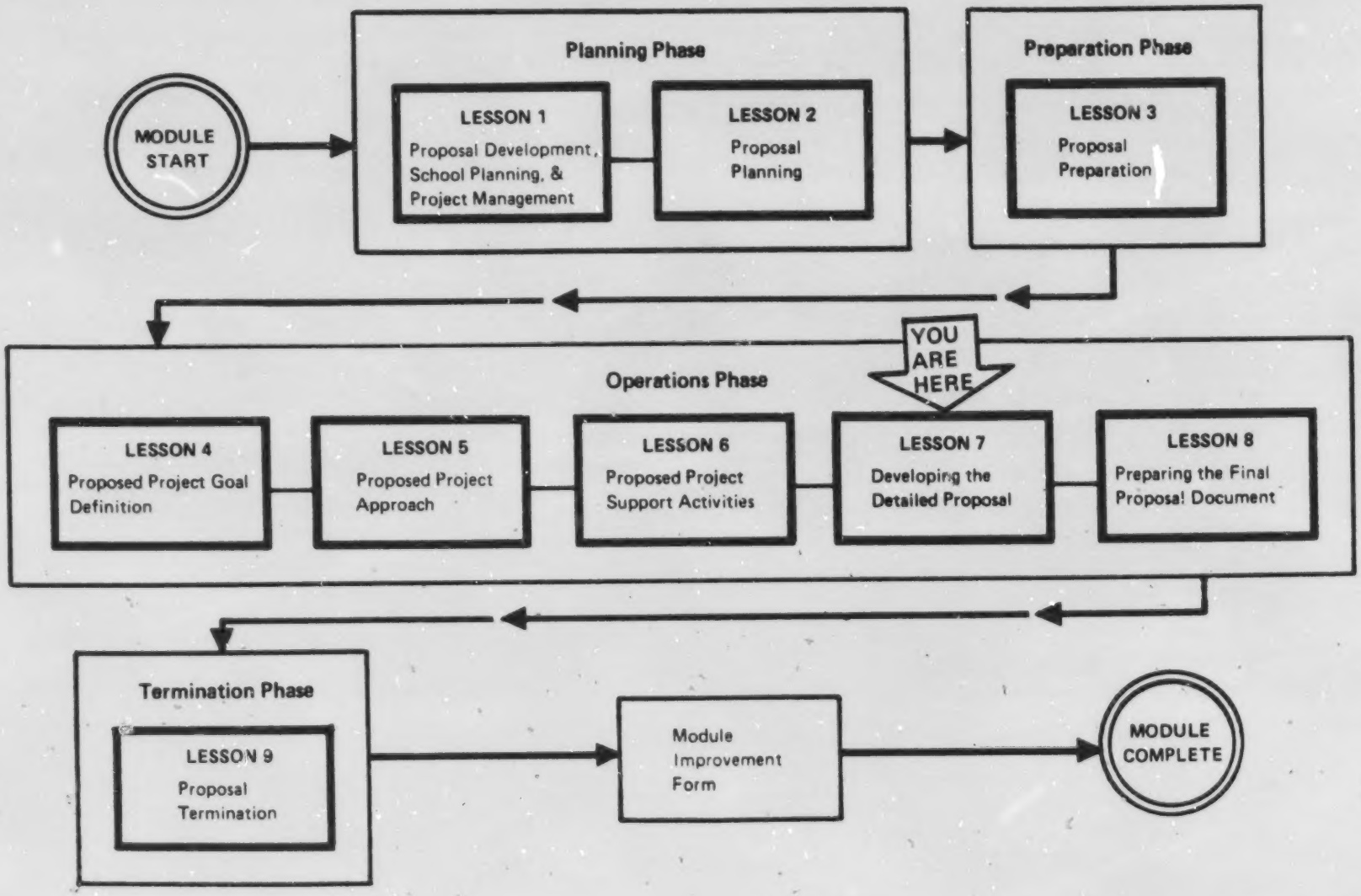
Introduction to Lesson

This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Booklet containing the following items	Page
Introduction to lesson	1
Overview and objectives	3
Pretest	5
Lesson abstract and content outline	8
Lesson text	10
Practice Exercises	18
Post-test	32

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The previous lesson was concerned with the proposed project support activities associated with evaluation, program audit, dissemination, and community involvement which must be detailed in the Technical Plan component of the proposal document.

This lesson is concerned with the development of the other two components of the proposal document--the Management and Cost Plans. Two other topics of concern when developing the detailed proposal, grantsmanship and brochure writing are also discussed.

The next lesson is concerned with preparing the final proposal document including sections such as: proposal abstract, legal assurances, target population description, special equipment justification, and community, school, and staff descriptions.

OBJECTIVES

The student in completing this lesson should be able to describe in detail the steps involved in the development of the detailed proposal, including Management and Cost Plans. The specific objectives of the Lesson are as follows:

1. The student should be able to describe in detail the steps involved in the development of the Management Plan component of a proposal document.

2. The student should be able to describe in detail the steps involved in the development of the Cost Plan component of a proposal document.

3. The student should be able to describe various legitimate grantsmanship activities and brochure writing skills that are helpful in creating a quality proposal document.

Pretest

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Circle the letter of the best answer for each of the following questions.

1. What name is applied to that section of the proposal detailing the work breakdown structure, time estimates, tentative schedule, and statement of personnel services, facilities, equipment, travel itinerary, and materials to be secured?

   A. Management Plan
   B. Technical Plan
   C. Cost Plan
   D. Evaluation Plan

2. Special knowledges, skills, and techniques brought to the proposal development situation in order to help ensure funding for a project are often referred to as:

   A. Negotiating skills
   B. Contract negotiation
   C. Grantsmanship
   D. Sponsorship

3. What are the activities associated with the final production of the proposal document including decisions concerning cover pages, binding, and art work often called?

   A. Brochure writing skills
   B. Contract negotiation
   C. Proposal management
   D. Sponsorship

Listed below, to be used as responses for questions 4 to 7, are four types of costs associated with the Cost Plan or Budget of a proposal. Choose the response which best suits the definitions presented.

A. Indirect costs or overhead
B. Direct costs
C. Unallowable costs
D. Total costs

____4. Costs of project support not easily determined by direct measurment, such as heat, light, electricity and custodial services

____5. Costs such as coffee breaks and honoraria

____6. Costs associated with overall functioning of the project, including Direct and Indirect Costs

____7. Costs charged to the project for items such as salaries and wages, travel, equipment and supplies

For questions 8 to 9 indicate T (True) if you agree with the statement and F (False) if you do not.

____8. The Management Plan shows how much money it will cost to perform each major task of the project.

____9. The Management Plan will answer questions such as, "In what order will the proposed project tasks be performed? When will the tasks be performed?"

Correctly complete the sentence below on the line provided.

10. Costs for items such as personnel salaries, travel expenses, and equipment and facilities are exhibited in the proposal by the _____

_____.

Turn the page and check your answers.

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 7 pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of developing the detailed proposal and should read the lesson abstract and content outline on pages 8 and 9. Then begin the content presentation by turning to the lesson text on page 10.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of developing the detailed proposal and should read the lesson abstract and content outline on page 8. Then if you desire to skip the content presentation you may do so by proceeding directly to the practice exercise on page 18. If you do desire to read the content presentation, turn to page 10.

Multiple Choice

1. (A) B C D
2. A B (C) D
3. (A) B C D
4. (A) B C D
5. A B (C) D
6. A B C (D)
7. A (B) C D

True/False

8. F
9. T

Completion

10. Budget or Cost Plan

Number Correct= _____

Lesson Abstract and Content Outline

ABSTRACT

This lesson identifies and elaborates upon several of the tasks involved in developing the detailed proposal. Included in these tasks are the nature and purpose of the Management and Cost Plans and the activities associated with the development of each plan. Also discussed are those special knowledge, skills, or techniques (gained from experience with previous attempts to attain funding) which are brought to the proposal development effort to help ensure acceptance of the proposal. The two activities in this area are referred to as Grantsmanship and Brochure Writing.

CONTENT OUTLINE

A. In order to develop the Management and Cost Plans, the proposal team must generate the following information for each task or work package.

- o work breakdown structure
- o work flow
- o time estimates
- o resource needs and schedule
- o budget

B. Once the work breakdown structure, work flow, time estimates and proposal schedule have been prepared, they can be consolidated into one section, labeled the Management Plan, or they may appear in different sections of the proposal.

C. The information gained from the proposal team regarding costs of personnel, materials and equipment, facilities and travel is aggregated into a total cost estimate, budget or Cost Plan for the proposal project.

D. The budget may appear in a line item or objectives-component format.

   1. In the line item format, resources and associated costs are classified by stated categories representing different resource types.

   2. In the objectives-component format, costs are aggregated for the accomplishment of each major project objective.

E. The Management and Cost Plans should be explicit enough so that it is possible for the proposal reader to know exactly how the project team proposes to accomplish their objectives, under what schedule, with what resources, and how much it will cost to do so.

F. Some of the many legitimate "grantsmanship" techniques that should be brought to bear upon the final integration of the proposal are as follows:

   - o writing should be clear, logical, and easy to follow, avoiding jargon
   - o local resources available for utilization in the project should be elaborated
   - o evidence of community resources and support of power groups should be highlighted
   - o proposal should be addressed in terms of the Request for Proposal, priorities of the funding agency, or other appropriate guidelines
   - o empirical studies supporting claims of problem existence and adequacy of proposal solution should be cited
   - o previous related pilot studies hampered by inadequate funds should be mentioned.

G. Many brochure writing skills such as format of cover pages, types of bindings, and graphics can result in a more clear and attractive proposal.

Lesson Text

Introduction

The three prior lessons have discussed the management activities associated with the development of the Technical Plan of the overall proposal document. At the corresponding point in the development of the proposal some sections may only be sketched out in basic form and lack detail, while in other sections detail may have been developed. Some sections will reflect only a narrative presentation of the problem and its solution, with no supporting information relative to the schedule to be followed and the types of resources needed. There are still several tasks that must be accomplished in order to have a complete proposal document.

The two primary tasks yet to be completed are the development of a Management Plan and a Cost Plan. In developing these sections of the proposal, it should be kept in mind that the total proposal will eventually serve as the basic reference document for the operation of the proposed project once it is funded. Although the various elements of the Management Plan may be treated in separate sections of the proposal, combined together they should exhibit the integration of project schedules, costs, and performance specifications (goals and objectives).

Management Activities

The development of both the Management and the Cost Plans can be facilitated by calling together the proposal development team and outlining the basic purposes of each plan, what it is and why it is needed. For each major component of the proposal, such as approach or procedure, evaluation plan, or dissemination plan, the proposal development team should supply

the following items:

- o a work breakdown structure detailing the major and minor work necessary to accomplish each objective
- o a work flow showing in detail the order of task accomplishment and milestones showing completion of significant proportions of the effort
- o time estimates for each individual task, as well as overall component time and total project time
- o a tentative detailed schedule, along with a statement of the personnel, facilities, equipment, travel and materials that must be secured to meet the proposed schedule
- o a budget set up in matrix form and listing major objectives or work tasks on one axis and traditional budget categories on the other

Each person or group of persons from the proposal development team should prepare such information and submit it to the proposal director for integration into the proposal document. All of the items secured from the team members, with the exception of the budget figures, can be consolidated into the section which presents the Management Plan.

The amount of detail to be exhibited relative to the work breakdown structure, detailed work flow, time estimates and schedule, can not be stated exactly. Too much detail can overwhelm the person who reads the proposal, while too little leaves the reader without much information about exactly what will be done and when. It is often wise to check with the proposal guidelines to see what is requested or suggested. The proposal development team, with help from the proposal director, might want to set up their own criteria for detailed development of these items.

Management Plan

Once the work breakdown structure, work flow, time estimates and proposed

schedule have been prepared, they can be consolidated into one section, labeled the Management Plan (or Section). The combining of such items into a single section is sometimes required in proposal development situations. On the other hand, these items might appear in different sections of the proposal. For example, the detailed work breakdown structure and work flow for the approach to be used might appear in the section of the detailed Technical Plan where proposed objectives and procedures are described. The project schedule might appear as a separate section itself.

Regardless of how the information is finally assembled ,it is important to recognize that the several tasks associated with the development of the Technical Plan and the Management Plan, plus the preparation of the Cost Plan as it is outlined below, will form the complete or total project proposal. The management plan should be explicit enough so that is is possible for the proposal reader to know exactly how the project team proposes to accomplish their objectives, under what schedule, with what resources, and how much it will cost to do so.

Cost Plan

The information gained from the proposal development team regarding costs of personnel, materials and equipment, facilities, and travel will have to be aggregated into a total cost estimate, or budget, for the project. Local and/or agency guidelines should be checked to determine if the budget is to be prepared in a traditional line item format or if it is to appear in an objectives-component format. In the former case, the various needed resources are classified by stated categories, with supporting detail for each item, as requested by the funding agency. In the case of the objectives-component

(sometimes called program) budget, costs are aggregated for the accomplishment of each major project objective or work task. These costs can be summarized at any level of the work breakdown structure. Components of the proposal, such as the evaluation plan, the dissemination plan, project administration, and other sections are, thus, costed out and presented as items in the budget. Within each item, costs for personnel, travel, services, and so forth are determined for the achievement of that particular objective or activity of the proposed project.

Expenditures for personnel, equipment, facilities and services obtained especially for the project are generally referred to as direct costs. Support costs of the larger organization housing the project such as space, electricity, or heat in the building, are generally referred to as indirect costs. There are other costs, however, that often are not allowed in a proposed project budget. Examples are costs associated with entertainment, coffee breaks, modification of space, and honoraria.

The development of a Cost Plan using the traditional components budget matrix is given in Figure 7.1. The items on the horizontal (the row headings) are drawn from the work breakdown structure, while the items on the vertical (the column headings) are general categories from traditional budget formats. Organizing the preparation of the budget in this manner allows the proposal development director to have in one place the information needed regarding the costs associated with each objective, as well as with the traditional budget categories.

The illustration shows that it is estimated to cost $15,500 dollars to accomplish Objective A.1 of the project. The total personnel costs of the project are obtained by adding across all objectives. In this case the

Figure 7.1--Illustration of Budget Matrix

WBS Level / Category	Major Goal					
	Subobjective A		Subobjective B			
	Objective A.1	Objective A.2	Objective B.1	Objective B.2	Admin.	Total
1. Personnel	5,000	10,000	3,000	4,000	12,000	34,000
2. Benefits	500					
3. Total Personnel	5,500					
4. Materials and Supplies	1,000					
5. Services	2,000					
6. Travel	1,000					
9. Equipment	500					
10. TOTAL	15,500					
11. Overhead or indirect cost 10%	1,550					
TOTALS	17,050					

Notes: 1. Each category would have more detail to show justification

2. Overhead (or indirect costs) are costs not directly charged to project such as heat, light, and electricity. The amounts allowable are usually specified in guidelines or by local business offices.

3. Costs not associated with any particular objective, but which cover all objectives, such as project manager's time, can be collected in the WBS under a general category labeled as Administration.

director's salary is shown as an administrative cost in the work breakdown structure. The overhead, or indirect cost, rate for the local school district involved in our example is 10 percent. Each district or funding agency would have its own figure. The proposal director should obtain the appropriate figure from the school district finance officer or business manager and use it in the budget calculations.

It is important to check the cost figures with local officials such as business officers or managers. The purpose of this action is to make sure that personnel benefits are correct, salary increases are included if the project runs over into another fiscal year, service costs are appropriate, space or rental charges are approved, and so forth. This can be done on a rather informal basis by setting up an appointment with the appropriate person or by using the assembled budget as an agenda item for a team meeting with the business officer.

Grantsmanship and Brochure Writing

Once the three major components (Technical, Management, and Cost Plans) have been assembled, there are still some developmental tasks which have to be accomplished, though they are not quite of the same character as many of the previous tasks. To a great degree they depend upon the proposal development director's experience with the total process of proposal writing and submission. They do not often show up on the work plan nor are they included in the developmental schedule. They consist of knowledge, skills, or techniques which may be brought to the proposal development situation by persons on the team or may exist elsewhere within the local school district. In either case, this knowledge has to be brought to bear upon the final inte-

gration of the proposal and have to be considered before the final writing and editing takes place. These knowledges, skills or techniques are often referred to as grantsmanship and brochure writing.

Some of the grantsmanship activities have already been introduced in previous lessons, such as the involvement of various community members. It is appropriate to outline some legitimate techniques to insure proposal funding or approval. Examples of some of these techniques or principles are listed below:

- o The proposal should show a clear logic that can be easily followed by persons not fully informed about the substance of the proposal
- o The writing should be clear, concise, and avoid jargon
- o The degree of local resources available for utilization in the project should be elaborated
- o Evidence of community resources and the support of power groups involved in making the project plan should be highlighted
- o The project strategy should be clear from the plan
- o The plan should be addressed to the terms of the Request for a Proposal (RFP), the priorities of the funding agency, or other appropriate guidelines
- o Empirical data should be used to support claims of the existence of a problem and the solution devised for it
- o Previous related pilot activities which have been hampered by lack of funds should be discussed in the proposal document
- o A sensitivity should be developed for the amount of money which a particular funding agency would be willing to spend on a specific project and the Cost Plan should be structured accordingly

Brochure-writing skills are involved in activities associated with the final production of the proposal document and include decisions concerning the format of cover pages, types of bindings, quality of art work or other devices which are used to make the proposal attractive. Some funding

agencies require simple and inexpensive approaches, and it is wise to check before spending too much time and effort on an elaborate design.

Summary

A detailed proposal document consists of a Technical Plan, Management Plan and Cost Plan. The information contained in the Management and Cost Plans provides answers to these questions: In what order will the proposed project tasks be performed? When will the tasks be performed? What resources will be required? How much money will it cost to perform each major task of the project and to complete the entire project effort? The Technical, Management and Cost Plan sections of the proposal should be so interrelated that it is possible for a proposal reader to know exactly what objectives are to be achieved, by what means, under what schedule, with what resources, and how much it will cost to do so.

Before the proposal development effort is complete, certain knowledges, skills, and techniques often referred to as grantsmanship and brochure writing should be brought to bear upon the final integration of the proposal document. There are many positive aspects to utilizing these skills, and they can result in a proposal document of high quality.

Exercise A

Directions: Assume for this exercise that you are a proposal director who is attempting to complete the budget for a proposal. You have identified a number of costs which you want to include in the budget but have not as yet classified them into various categories.

Listed below are the 20 costs which you have identified. On the next page is a line item budget into which you must place these 20 costs.

Study the list below carefully. Then turn to the incomplete budget form on the next page and place each cost into one of the categories shown. Notice that some of the costs have already been entered so as to give you a start.

When you have completed this portion of the exercise, turn to page 20 and check your answers.

	ITEM	COST
1.	Office Supplies	$ 200
2.	Statistical Services	200
3.	Electric typewriter	352
4.	Project Director ($13,000 base salary at 75% time)	9,750
5.	Project Evaluator ($10,000 base salary, 3 months full time)	2,625
6.	Textbooks and Training Materials	400
7.	Training Director ($11,000 base salary, 6 months full time)	5,500
8.	Benefits, 10% of salaries (excluding Consultants)	3,885
9.	Project Team Senior Assistant ($8,000 base salary full time)	8,000
10.	Consultant ($100/day, five full days)	500
11.	Computer costs	200
12.	Project Secretary ($6,000 base salary, full time)	6,000
13.	Duplicating	100
14.	Indirect Costs (10% of Total Direct)	4,482
15.	Project Team Junior Assistant ($7,000 base salary, full time)	7,000
16.	Trip to RBS, Philadelphia, for Training Director	80
17.	Total Personnel	43,260
18.	Total Direct	44,812
19.	Per diem, 1 day @$20/day	20
20.	TOTAL	49,294

Exercise A

Directions: This is the budget form which you are to complete as part of Exercise A.

Put one of the budget items from the previous page on each of the lines provided.

Line Item Format Budget

	Items	Cost	Line item #
I.	Personnel		
	A. Project director (#4).....	$ 9,750	1
	B. Secretary (#12).....	6,000	2
	C.		3
	D.		4
	E.		5
	F.		6
	G.		7
	Sub-total for personnel costs.....		8
II.	Benefits (#8).....	3,885	9
III.	Total personnel (#17).....	43,260	10
IV.	Materials and supplies		
	A. Office supplies (#1).....	200	11
	B.		12
	Sub-total for materials and supplies.....		13
V.	Services		
	A. Statistical services (#2).....	200	14
	B.		15
	C.		16
	Sub-total for services.....		17
VI.	Travel		
	A. Trip to RBS (#16).....	80	18
	B.		19
	Sub-total for travel.....		20
VII.	Equipment - Electric typewriter (#3).....		21
VIII.	Total Direct Costs (#18).....	44,812	22
IX.	Indirect Costs (#14).....	4,482	23
X.	Total costs (#20).....	49,294	24

Exercise A - Solution

Directions: Check your answers from the previous page with the solution given below. When you have completed checking your solution, go to the next page for the directions to Exercise B.

Line Item Format Budget

	Items		Cost	Line item #
I.	Personnel			
	A. Project director (#4)	$	9,750	1
	B. Secretary(#12)		6,000	2
	C. *Training Director (#7)*		*5,500*	3
	D. *Project Team Senior Assistant (#9)*		*8,000*	4
	E. *Project Team Junior Assistant (#15)*		*7,000*	5
	F. *Project Evaluator (#5)*		*2,625*	6
	G. *Consultant (#10)*		*500*	7
	Sub-total for personnel costs		*39,375*	8
II.	Benefits (#8)	$	3,885	9
III.	Total Personnel (#17)	$	43,260	10
IV,	Materials and Supplies			
	A. Office Supplies (#1)	$	200	11
	B. *Textbooks, etc. (#6)*		*400*	12
	Sub-total for materials and supplies	$	*600*	13
V.	Services			
	A. Statistical services (#2)	$	200	14
	B. *Duplication (#13)*		*100*	15
	C. *Computer Costs (#11)*		*200*	16
	Sub-total for services	$	*500*	17
VI.	Travel			
	A. #16	$	80	18
	B. *per diem*		*20*	19
	Sub-total for travel	$	*100*	20
VII.	Equipment - Electric typewriter (#3)	$	*352*	21
VIII.	Total Direct Costs (#18)	$	44,812	22
IX.	Indirect Costs (#14)		4,482	23
X.	TOTAL Costs (#20)	$	49,294	24

Exercise B

Directions: As proposal director, you look at the line-item budget just presented on the previous page and decide that you would like to break down the costs for the various items by assigning costs to the four tasks which your project will involve.

On the following page is a form for making such an objectives-component format budget. You are to fill in all blank spaces with a cost figure. Some of the spaces have been completed to give you a start.

The items listed below have costs which are to be assigned to a specific objective. Assign these costs only to the objective indicated.

All other individual item costs are to be pro-rated among the four tasks except for Benefits which is calculated as 10% of Personnel costs and the sub-totals and totals lines which are found by adding the appropriate numbers in the columns.

Study the list below and then proceed to complete the blank spaces in the form provided on the next page. Refer to page 20 for costs of items not listed below.

Remember that the totals must equal those given. Be sure to check your addition.

	Items assigned to one task	Cost	Task
I.	Personnel		
	C. Training director	$ 5,500	B.1
	F. Project Evaluator	2,625	B.2
	G. Consultant	500	A.1
V.	Services		
	C. Computer costs	200	B.2
VI.	Travel		
	A. Travel to RBS	80	B.1
	B. Per diem	20	B.1

Work Breakdown Structure / Items	Project Goal				Total
	Mission A		Mission B		
	Task A.1	Task A.2	Task B.1	Task B.2	
I. Personnel					
A. Project Director	2,437	2,438	2,437	2,438	9,750
B. Secretary	1,500	1,500	1,500	1,500	6,000
C. Training Director					5,500
D. Project Team Senior Assistant					8,000
E. Project Team Junior Assistant					7,000
F. Project Evaluator					2,625
G. Consultant					500
Personnel sub-total					39,375
II. Benefits (excluding consultant)					3,885
III. Total personnel costs					43,260
IV. Materials & Supplies					
A. Office supplies	50	50	50	50	200
B. Textbooks					400
Materials and supplies sub-total					600
V. Services					
A. Statistical services	50	50	50	50	200
B. Duplication					100
C. Computer					200
Services sub-total					500
VI. Travel					
A. Trip to RBS	-----	-----	80	-----	80
B. Per diem					20
Travel sub-total					100
VII. Equipment - Electric typewriter	88	88	88	88	352
VIII. Total Direct Costs	9,268	8,769	14,918	11,857	44,812
IX. Indirect costs (10% of Direct Costs)					
X. Total					49,294

Exercise B

Exercise B--Solution

Directions: On the next page is a suggested solution to this exercise. There will probably be some minor differences between it and the solution you derived due to rounding errors, minor addition errors, and so on. However, they should be reasonably close. A difference in any of the figures at the bottom of the columns of over ten dollars ($10) probably means you should recheck your figures. Pay special attention to whether you assigned costs associated with a specific objective to that objective.

When you have completed evaluating your solutions, turn to Exercise C.

Work Breakdown Structure / Items	Project Goal				Total
	Mission A		Mission B		
	Task A.1	Task A.2	Task B.1	Task B.2	
I. Personnel					
A. Project Director	2,437	2,438	2,437	2,438	9,750
B. Secretary	1,500	1,500	1,500	1,500	6,000
C. Training Director	-----	-----	5,500	-----	5,500
D. Project Team Senior Assistant	2,000	2,000	2,000	2,000	8,000
E. Project Team Junior Assistant	1,750	1,750	1,750	1,750	7,000
F. Project Evaluator	-----	-----	-----	2,625	2,625
G. Consultant	500	-----	-----	-----	500
Personnel sub-total	8,187	7,688	13,187	10,313	39,375
II. Benefits (excluding consultant)	768	768	1,318	1,031	3,885
III. Total personnel costs	8,955	8,456	14,505	11,344	43,260
IV. Materials & Supplies					
A. Office supplies	50	50	50	50	200
B. Textbooks	100	100	100	100	400
Materials and supplies sub-total	150	150	150	150	600
V. Services					
A. Statistical services	50	50	50	50	200
B. Duplication	25	25	25	25	100
C. Computer	-----	-----	-----	200	200
Services sub-total	75	75	75	275	500
VI. Travel					
A. Trip to RBS	-----	-----	80	-----	80
B. Per diem	-----	-----	20	-----	20
Travel sub-total	-----	-----	100	-----	100
VII. Equipment - Electric typewriter	88	88	88	88	352
VIII. Total Direct Costs	9,268	8,769	14,918	11,857	44,812
IX. Indirect costs (10% of Direct Costs)	927	877	1,492	1,186	4,482
X. Total	10,195	9,646	16,410	13,043	49,294

Exercise C

Directions: As proposal director you review the funding agency's guidelines and discover that they will not grant funds for such a project in excess of $35,000. This means that you will have to find some method of getting your budget within the $35,000 cost limit.

Below list your suggestions for reducing the budget to the limit given. There is no one correct procedure for accomplishing this task and no restrictions on how you are to modify the budgets except the logic of the situation. Several suggestions for reducing the costs for the proposed project are provided on the next page.

List your suggestions below and then turn to the next page to compare your solutions with the ones suggested.

Exercise C--Solution

Directions: Listed below are some suggested ways of reducing the budget. All or some combintation of these might be employed to obtain the desired amount ($35,000). You might also have devised ways to cut costs which have not been listed. In any case, the impact of each reduction should be carefully considered. Turn the page when finished.

I. The most obvious way of producing all or a substantial part of the required budget cut is to eliminate one or more of the tasks. This is one of the advantages of an objectives-component budget. This kind of budget lets you see what each task or work package costs. Thus you can drop the least important of the tasks and proceed to work with the budgets of the remaining ones.

II. Personnel

A. Project Director's time contribution could be cut to 1/2 or 1/4 time assuming he would be performing the management function of directing the project effort along with his other duties.

B. Training Director's time could be cut to three months fulltime. This would mean an overall reduction in the time allocated for training.

C. One Team Assistant position could be cut and the other's time commitment reduced.

D. The Project Evaluator's position could be eliminated. His duties would then be incorporated into the responsibilities of one of the other positions or some contributions could be secured from evaluators hired by the school system.

III. Materials & Supplies

A. Office supplies for the project might be provided by the schools involved out of their general supply fund. The cost would then be absorbed into the project indirect cost figure.

B. Textbooks and Training Materials might be supplied by RBS in exchange for a report evaluating their effectiveness. A separate contract would have to be negotiated for this purpose.

IV. The Training Director could ask his question of RBS via telephone instead of a trip.

V. The typewriter could be provided by the school.

Exercise D

An important component of the proposal document is the Management Plan. Listed below are several sections and/or topics which might be included in this component. Mark those items which are most likely to be included in a Management Plan with an "M", those items which would be optional to include with an "O", and those items unlikely to be included in the Management Plan with a "U".

____A. Work breakdown structure

____B. Project organizational chart

____C. Responsibility guide

____D. Budget

____E. Work flow diagram

____F. Proposed schedule

____G. Needs assessment

____H. Project personnel descriptions or vitas

____I. Audit plan

____J. School district organizational chart

____K. Facilities descriptions (e.g., Library)

____L. Internal reporting procedure

Exercise D--Solution

An important component of the proposal document is the Management Plan. Listed below are several sections and/or topics which might be included in this component. Mark those items which are most likely to be included in a Management Plan with an "M", those items which would be optional to include with an "O", and those items unlikely to be included in the Management Plan with a "U".

M A. Work breakdown structure

M B. Project organizational chart

O C. Responsibility guide

U D. Budget

M E. Work flow diagram

M F. Proposed schedule

U G. Needs assessment

M H. Project personnel descriptions or vitas

U I. Audit plan

O J. School district organizational chart

O K. Facilities descriptions (e.g., Library)

O L. Internal reporting procedure

Exercise E

In your capacity as Proposal Director, you have received the following memo from the Superintendent of Schools. Of the activities suggested, some are performed in the normal course of developing the proposal, some should be abandoned, and some are what may be termed Grantsmanship activities. Circle those which you think fall into the category of Grantsmanship.

TO: Proposal Project Director

FROM: Superintendent of Schools

SUBJECT: Development of the Proposal

The following list of proposal development activities were suggested during our conversation last Friday.

1. Arrange to have the final proposal document bound with an attractive cover.

2. Call the program director in Washington to discuss specific procedures as outlined in the agency guidelines.

3. Once contact is made with the agency's Washington office, call the program director once a week to inform him of your progress.

4. Play golf with the program director when he visits the site of the proposed project.

5. Include detailed empirical data regarding the problem definition in an Appendix.

6. Include letters of support for the project with the proposal document.

7. Be sure to use jargon familiar to the funding agency, especially that contained in the Request for Proposal (RFP).

I shall look forward to periodic reports on the progress of the proposal development effort.

Exercise E--Solution

Suggested activities one, two, four, and seven may be termed Grantsmanship activities. Numbers five and six would occur in the normal course of developing the proposal. Suggestion 3 should be discarded as an unwise practice unless the funding agency specifically requests such an arrangement.

Directions and Choices Following the Practice Exercises

Based upon the self-evaluation of your performance on the exercises, you have either:

A. *acceptably satisfied the objective of describing in detail the steps involved in creating the Management and Cost Plans of a proposal document, and should now turn to the post-test found on page 32.*

References for additional reading are listed on page 16 of the Module Manual.

B. *not satisfied the objective, and should read the section of lesson text on the Cost Plan beginning on page 12 and then rework any exercises you did not solve satisfactorily.*

Post-Test

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Listed below, to be used as responses for questions 1 to 4, are four types of costs associated with the Cost Plan or Budget of a proposal. Choose the response which best suits the definitions presented.

A. Indirect costs or overhead
B. Direct costs
C. Unallowable costs
D. Total costs

_____1. Costs charged to the project for items such as salaries and wages, travel, equipment and supplies

_____2. Costs associated with overall functioning of the project, including Direct and Indirect Costs

_____3. Costs of project support not easily determined by direct measurment, such as heat,light, electricity and custodial services

_____4. Costs such as entertainment, coffee breaks, construction of buildings and honoraria

Circle the letter of the best answer for each of the following questions.

5. What name is applied to that section of the proposal detailing the work breakdown structure, time estimates, tentative schedule, and statement of personnel services, facilities, equipment, travel itinerary, and materials to be secured?

A. Management Plan
B. Technical Plan
C. Cost Plan
D. Evaluation Plan

6. What are the activities associated with the final production of the proposal document including decisions concerning cover pages, binding,and art work often called?

   A. Brochure writing skills
   B. Contract negotiation
   C. Proposal management
   D. Sponsorship

7. Special knowledges, skills, and techniques brought to the proposal development situation in order to help ensure funding for a project are often referred to as:

   A. Negotiating skills
   B. Contract negotiation
   C. Grantsmanship
   D. Sponsorship

For questions 8 to 9 indicate T (True) if you agree with the statement and F (False) if you do not.

_____8. The Management Plan shows how much money it will cost to perform each major task of the project.

_____9. The Management Plan will answer questions such as, "In what order will the proposed project tasks be performed? When will the tasks be performed?"

Correctly complete the sentence below on the line provided.

10. Costs for items such as personnel salaries, travel expenses, and equipment and facilities are exhibited in the proposal by the _____

_____.

Turn the page and check your answers.

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 7 post-test are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of developing the detailed proposal, and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 10.*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of developing the detailed proposal. References for additional reading are listed on page 16 of the Module Manual.

Multiple Choice

1. A (B) C D
2. A B C (D)
3. (A) B C D
4. A B (C) D
5. (A) B C D
6. (A) B C D
7. A B (C) D

True/False

8. F
9. T

Completion

10. Budget or Cost Plan

Number Correct= _____

Termination Instructions

This lesson on developing the detailed proposal is now completed. Lesson 8 entitled "Preparing the Final Proposal Document" is the next lesson in the sequence.

Lesson 8

Preparing the Final Proposal Document

C. Peter Cummings
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The Ohio State University

May 1974

EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 8

Preparing the Final Proposal Document

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Introduction to Lesson

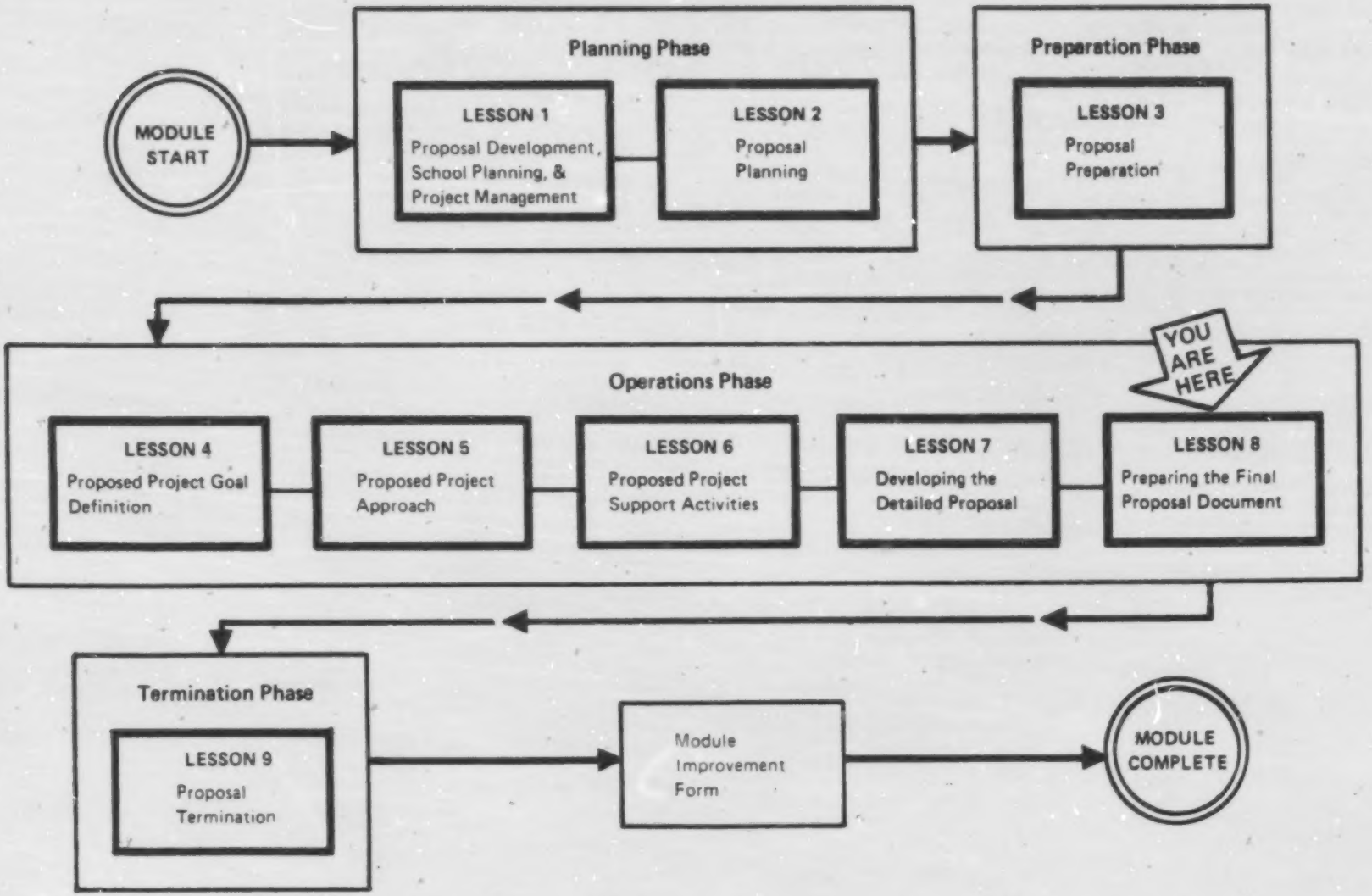
This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Page

Booklet containing the following items

Introduction to lesson. 1
Overview and objectives 3
Pretest 4
Lesson abstract and content outline 7
Lesson text 9
Practice exercise 18
Post-Test. 29

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The previous lessons have been concerned with the development of the Management Plan, Cost Plan, and Technical Plan components of the proposal document.

This lesson presents the various management activities necessary for organizing and preparing the final proposal document. Several additional sections for inclusion in the document are discussed, and procedures for organizing, editing and a final review are discussed. The completion of these activities represents the ending of the operations phase of the proposal development.

The next lesson is concerned with terminating the proposal development effort or project. Topics of discussion include proposal document submission, proposal negotiation and contractual arrangements, and closing-out proposal development.

OBJECTIVES

The student in completing this lesson should be able to describe the activities involved in preparing and incorporating components such as the proposal abstract, legal assurances, target population description, special equipment justification, and community, school, and staff descriptions into the final proposal document. The specific objectives of the lesson are as follows:

1. The student should be able to describe the role of the proposal director in managing the preparation of the final proposal document.
2. The student should be able to describe the activities involved in preparing components such as the proposal abstract, legal assurances, target population description, special equipment justification, and community, school, and staff descriptions.

Pretest

Directions: Please take time to answer carefully the questions given below following the specific directions given.

Circle the letter of the best answer for each of the following questions:

1. Who has the responsibility of assuring that the time schedule is kept so as to avoid having the proposal project personnel work overtime at the last minute?

   A. Superintendent
   B. Proposal Director
   C. Secretary
   D. Project Staff

2. To what basic group do the goal and objectives of the proposal project refer?

   A. Board of Education
   B. Community, School and Staff
   C. Superintendent of Schools
   D. Target Student Population

For statements 3 through 8 write T (True) if you agree with the statement, and F (False) if you do not.

3. ___ Certain unusual or special items of equipment which have been listed in the Budget or Cost Plan should be described separately (in a separate section) in detail. This discussion should include information about special features of performance, and repair and service needs.

4. ___ Staff qualifications and school and community descriptions are elements of the proposal document which the funding agency considers important in assessing the capabilities and qualifications of both the school and the community to handle the project.

5. ___The major components of the final proposal document vary widely from agency to agency.

6. ___A poorly typed and duplicated proposal can often negate all of the efforts of the proposal development team.

7. ___Internal review and the acquisition of formal approvals should be carried out after the final proposal document is approved.

8. ___An important facet of Grantsmanship is learning about both implicit and explicit criteria which will be used by the funding agency in evaluating the proposed project.

For items 9 and 10 complete the following statements.

9. The section of the final document which includes statements about racial or sexual discrimination, equal employment opportunity, and protection of human subjects is termed_____.

10. A brief description (one or two paragraphs) of the proposed project, emphasizing the major objectives and procedures making up the project is called the_____.

Turn the page and check your answers

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 8 pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of preparing the final proposal document and should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation by turning to the lesson text on page 9.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of preparing the final proposal document and should read the lesson abstract and content outline on page 7. Then if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 18. If you do desire to read the content presentation, turn to page 9.

Multiple Choice

1. B
2. D

True/False

3. T
4. T
5. F
6. T
7. F
8. T

Completion

9. Legal Assurances
10. Abstract

Number Correct= _____

Lesson Abstract and Content Outline

ABSTRACT

This lesson discusses the activity of managing the preparation of the final proposal document. Included are discussions of the proposal abstract and legal assurances, target population, special equipment justification, and community, school, and staff descriptions. The role of a proposal director in this activity is also specified. Considerations which may arise during the completion of this task concern the special forms requiring signatures, and the final typing, editing, and internal review processes. These are all management areas with which the proposal director must be concerned.

CONTENT OUTLINE

A. Preparing the final proposal document involves incorporation previously detailed components (the Technical, Management, and Cost Plans, and other sections required by the funding agency) into a final proposal document, allowing adequate time for revision, editing, and proofing. Typical sections required are proposal abstract; legal assurances; target population description; special equipment justification; and community, school, and staff descriptions.

B. The proposal director's management tasks may be simplified by observing several precautions.

   1. Follow work schedules closely to avoid a rush to meet the submission deadline.

   2. Involve the proposal team in "mopping up" activities.

C. The proposal director must prepare, or supervise the preparation of several additional proposal components.

   1. A proposal abstract provides a brief description of the proposed project.

2. A legal assurances section must be compiled, presenting assurances (signed by proper school district officials) related to racial or sexual discrimination, equal employment opportunity, invasion of privacy, etc.

3. Another section should detail the target population, relating the goals and objectives of the proposed project to the needs of the target population.

4. A special equipment justification section provides detailed information on certain special items of equipment, including performance, features, repair and service requirements, etc.

5. Community, School and Staff Descriptions provide vital details about facilities and staff qualifications.

D. Assembling the final document often requires already existing components to be rewritten according to specified funding agency formats. Some funding agency formats dictate a particular sequence to the proposal components, or specify signatures of proper officials in designated places.

E. Final typing and editing must be fully provided, so that the proposal team's efforts show to full advantage.

F. An internal review is suggested, in which "working" copies of the proposal document are circulated to key school district personnel, with time available for final revision.

Lesson Text

Introduction

At this stage of the proposal development project the proposal development team, under the direction of the proposal director, should have prepared preliminary detailed drafts of the several sections of the Technical plan, plus the Management Plan, and the Cost Plan (or Budget). These components now have to be incorporated into the final document, along with the several supporting sections that might be required by the various funding agencies. This lesson presents the various activities which have to be managed in order to bring the proposal document into its final form.

The Proposal Director's Role

The management tasks at this time can be complicated by any one of several possible situations. One might be that the deadline date for submission is close at hand. If the schedule is allowed to slip too much, this often means that a flurry of activity might take place, with personnel working late hours or overtime in order to have the total final document ready before the deadline. This illustrates the importance of planning a schedule in the proposal development Planning Phase and adhering to it in the Operations Phase. A second possibility is that the team may now feel that their primary effort is done and leave the "mopping up" of the final sections to you. Using the task force to review and edit typed sections of the proposal, and encouraging their participation in internal review and approval sessions, will help to eliminate this possibility. Another possible situation may arise from the desire of a team member to "polish" his section of the proposal until it meets

his personal and professional standards. The proposal director will have to work with such persons so as to achieve their satisfaction, while insuring that the total effort is not delayed because of the delay in producing a part of it.

If not previously developed or written, there are several sections of the proposal still to be prepared. The task of the proposal director is to prepare them, to have members of the proposal development team prepare them, or to have appropriate offices in the school district prepare them under the guidance of the proposal director.

Proposal Abstract

One of the tasks to be performed is that of preparing an abstract of the proposal. The basic function of the abstract is to provide a brief description of the proposed project, emphasizing the major objectives and procedures. In some cases this abstract may have to be prepared on a single page and in a specified format. At most, an abstract should not be more than two pages in length. A properly prepared abstract will give the reader of the proposal a quick summary of what the proposed project is all about. The same abstract might also serve as a description of the project once it is funded, and as such can be used by the ERIC (Educational Resources Information Center) information storage system, which serves to inform a large educational audience of what the project is all about. The abstract typically follows the title page and/or signature page of the proposal document, and preceeds the technical and other plans previously developed.

Legal Assurances

One of the more recent developments in the proposal process is the preparation of what is called a legal assurances section. Most federally funded projects, and many state funded projects, require such sections, covering items like the following:

- o racial or sexual discrimination
- o equal employment opportunity
- o invasion of privacy
- o minimum wage rates
- o protection of human subjects in research
- o accountability for federal funds
- o conformity with local wage, travel, and consultant policies.

Such assurances may have to be written, but most probably they exist as funding agency supplied preprinted forms or statements (sometimes called "boiler plate") with several appropriate blanks to be filled in or completed for each proposal. Signatures then have to be obtained from persons authorized to sign for the district. In some cases persons such as the school board president may have to sign, in which case he or she would have to be contacted. The placement of the assurances section varies in the final document. Sometimes it is an early section in the body of the proposal document, and sometimes it is in an appendix. It is also possible that such assurances might not be asked for as part of the request for a proposal, but would be included in the final contract once the project is approved.

Target Population

Another section which you will have to have prepared is one providing a description of the target population. It is possible that a draft of this section may have been developed as part of the Technical Plan. If so, it can be put into final form at this time. If not, this section should be prepared now.

The goals and objectives of the proposed project are addressed to the needs of a target population. The description of the target population is derived from the needs assessment information which caused the project to be planned initially. The target population sample, if one is to be used, should be described in as specific terms as possible. In most cases the proposal will deal with all of the students of the target population, but there are situations when resource and time constraints result in a narrowing of the project down to a sample of the total student population. If so, this fact should be clearly stated in this section, and the criteria by which the sample was selected should be justified by reference to standard statistical procedure or to specific standard reference literature.

Special Equipment Justification

In the development of the cost plan certain unusual or special items of equipment may be listed which require detailed justification. Such justification may be explained in a separate section of the proposal document. The features and performance of the equipment must be carefully specified, including repair and service requirements. The commercial availability of such materials must be determined. Information with regard to prices, cost of possible service contracts, and rental costs, needs to be secured. A final decision then has to be made as to which brand or type to purchase. This decision must also be justified and documented. Frequently the funding agency will require proof of competitive bidding.

Community, School and Staff Descriptions

Another task to be completed is that of writing that section of the proposal which provides supportive and descriptive information and data about key project personnel, school, and community. Each major professional person may have to supply a brief personal biography outlining his educational and professional qualifications for the position he is to hold on the proposed project. This information is important, since project approval often depends upon a judgement of the degree to which the project core staff is capable of carrying out the project. Descriptions of the school and community are equally important in many instances, since the facilities available in both places may be a key to project success. Library facilities, overall staff qualifications, and geographical location for consultant availability may become important considerations in project approval. These descriptions should be carefully prepared, in order to accurately present the qualifications and capabilities of both the school and community to handle the project. If such supporting evidence is lacking in any way, common practice is to utilize the services of consultants with unquestioned reputations in the appropriate areas.

Assembling the Final Document

At about this time in proposal development, the proposal director is ready to have all of the plans and supporting sections pulled together into a final proposal document. Even though all the sections may have been prepared, certain data in them may have to be rewritten to conform to specified funding agency formats. Usually there are specified formats for the cover or front pages which show items such as title, submitting agency, and project director, and which have places for authorized signatures. In some cases a budget

summary page may be required in addition to the more detailed cost plan included in the body of the proposal document.

The proposal director should check on the format required by, or most acceptable to, the funding agency. The funding agency may request that the various parts of the proposal be assembled into a particular sequence. The major components of a proposal, however, tend not to differ greatly from agency to agency. The proposal director may want to distribute to the proposal development team a list or format outline like the one below, and to describe or discuss the nature of each component.

1. Title and signature page
2. Abstract
3. Technical Plan
    a. Needs assessment
    b. Goals and objectives
    c. Procedures or strategy
    d. Rationale
    e. Evaluation plan
    f. Audit plan
    g. Dissemination plan
    h. Community involvement plan
4. Management Plan
    a. Project organization chart
    b. Schedules
    c. Project personnel descriptions and
    d. School and community descriptions (including facilities and services)
5. Cost Plan or Budgets

Regardless of specific format requirements or type of proposal being developed, these are the basic components recognized to exist in some form or another in nearly every proposal. These components and their functions should be familiar enough to the proposal director and the development team so that they can be automatically incorporated in the final writing of the proposal.

Final Typing and Editing

From a management viewpoint you are now ready to begin one of the most overlooked, and often time-consuming tasks that can take place in the proposal development process. That task is the editing of the several sections, having them typed in final copy, proofing the copy for errors, omissions and missing data, and making arrangements to have the document duplicated in the required number of copies, including file copies and a supply for later use by project personnel. The final appearance of the proposal document reflects back upon the proposal development team and their efforts. Regardless of how well conceived and organized, a poorly typed and duplicated proposal can often negate all of those efforts. It might be wise to consider the utilization of an editorial specialist to review the several sections as they are prepared for final typing. Enough extra copies should be kept to satisfy later requests from other schools for samples of successful proposals.

Internal Review

One step that might be undertaken prior to the duplication of the final copy is to have an internal review of the proposal by key persons in

the local school district. This could be done by circulating "working copies" with a deadline date for submission of possible final changes. Another procedure is to have a joint meeting of the proposal development team and selected key personnel. A briefing session could be arranged in which the proposal would be presented. Internal reviews must take place early enough so that there will still be time to make necessary revisions, obtain required formal approvals, duplicate all final copies, and place the copies in the mail or delivery service for submission to the funding agency.

While the proposal director or the proposal development team are not likely to appear before the review panel and the funding agency, it is generally helpful in the total development process to know how this external review process takes place in the funding agency. This information can be obtained by talking with agency personnel or persons who have served on review panels. It is especially useful to know the criteria against which the proposal will be evaluated, as well as the process involved. Some agencies provide this information on request.

With the internal review of the proposal, the efforts of the proposal development team are nearing an end. The next lesson will discuss the actions associated with proposal document submission, proposal negotiation and contractual arrangements, and closing-out the proposal development effort.

Summary

This lesson focused upon the management activities associated with the organization, assembly, and writing of the final proposal document plus the processes of proposal review at the local and funding agency levels. The written sections of the proposal document discussed were the abstract, assu-

rances and clearances, target population description, special equipment justification, personnel resumes, and school and community descriptions. Organizing and preparing the final proposal document usually involves the three steps of designating information to be used in writing the final document; selecting the proposal format to organize the information; and writing, editing, reviewing and duplicating the final document.

Lesson 8--Preparing the Final Proposal Document

Exercise A

Directions: The following sections contain examples of selected excerpts from actual proposals. These excerpts are from the following sections:

1. *Abstract*
2. *Legal Assurances*
3. *Target Population*
4. *Equipment Justification*
5. *Community, School, and Staff Descriptions*

Your task is to match each excerpt with the particular proposal section to which it belongs and to label it accordingly in the space provided. When completed, turn to the last page and check your work.

I. "XYZ County Adult Basic Education Division, in cooperation with City Public Schools, wishes to propose a project as part of the City Model Cities Program to be directed to the hard-to-reach, functionally illiterate adults who are Model City residents and who are unable to enter the Adult Basic Education Program for various reasons.

"Model Cities has included in its planning process a recommendation to fund 25% of this program due to the fact that it will service the Model City residents who are not at the present time receiving similar services. The local school district, through an existing Model Cities Community School Program, is concerned about the hard-to-reach Indian population in the City area who do not enter the Adult Education Program because of cultural restrictions--but who would participate if the educational program were brought to this small community on a one-to-one basis. Therefore, there is reason to expect full cooperation in this proposal.

"It is believed that a program of this type will motivate individuals toward an interest in adult education. Besides a high percentage of Indians, there are many people in the city who are transients and need encouragement to attend Adult Basic Education Programs. Utilizing the para-professional, and materials selected to meet the needs of the individual participant, the target population will be encouraged to avail itself of the educational resources of the community.

"The funds provided through this imaginative effort for recruiting the hard-to-reach, functionally illiterate adult would be used for developing a relationship between the special services of the Basic Adult Education Program and the para-professional who will be the primary motivator in the homes. The staff will include a coordinator and teachers who will develop the program.

"The para-professional staff will receive extensive training to inform them of the health services available in the Model Cities area, day care facilities and other supportive services that will insure self-improvement to Model City residents.

"Through research consultants, it will be possible to set up a comparative study between those people who are attending Adult Basic Education Classes and those who are receiving individualized instruction through this program.

"With the development of this individualized instructional program for the hard-to-reach, functionally illiterate adult, it will be demonstrated that an adult basic educational program can be effective."

This is an example of_____.

II. "Major new materials consisting of outdoor guides, conversation guides, and curricula that have already been developed in environmental education will be obtained. Material will also be rented to be previewed by the teachers in the in-service course."

This is an example of_____.

III. "The control of funds provided under this Title, and title to property derived therefrom, shall be in a public agency for the uses and purposes provided in this Title, and a public agency will administer such property and funds and apply them only to the purposes for which they are granted."

This is an example of_____.

IV. "The program includes all schools, K-12, both public and private, within the City School District boundaries."

This is an example of_____.

V. A. Area--City, 77.6 square miles; County, 414 square miles; Metropolitan 2,154 square miles.

B. Population--(1970 census) City, 452,524; County, 924,018; Metropolitan area, 1,384,851.

C. Population Rank--(1970 census) in United States: City, 29; Metropolitan area, 21.

D. Population Trend--(comparison of 1970 census with 1960 census) City, -50,026; County, +59,897; Metropolitan, +116,372.

This is an example of_____.

VI. "The Title III activities conducted under this project during the regular school year, in conjunction with regular school activities, will be carried out in accordance with the applicable current court order or desegregation plan filed with the Office of Education (including modifications filed on Form HEW441B), and all other Title III activities will be carried out on a non-discriminatory basis in accordance with the Regulation of the Department (45 CFR 80.3)."

This is an example of _____.

VII. "The City Public Schools District comprises a total area of approximately ninety square miles. It includes all of the City Amberley Village, Cheviot, Golf Manor, parts of Silverton, Fairfax, Springfield, Anderson, Columbia, Delhi, and Green Townships. The estimated population in 1965 was 550,000. The City Public Schools is recognized as one of the better large city school systems in the country. The 1969 pupil enrollment was approximately 85,000. There are eight senior high schools, seventeen junior high schools, and seventy-five elementary schools, and plans have been made for the construction of four more elementary and two junior high schools."

This is an example of _____.

VIII. "First priority will be given to programs and services for the "educationally non-involved resident" (ENR), meaning persons who have not been educationally or vocationally involved since leaving school. Within this population we expect to find the following groups:

a. Residents with English language problems, e.g., aliens and newcomers from Samoa, Philippines, and other non-English speaking countries.

b. Unemployed residents.

c. Residents with limited education.

d. Residents seeking new interests, but apprehensive of existing programs, e.g., retired residents, school dropouts, and persons seeking better jobs.

e. Homebound adults, e.g., mothers with young children."

This is an example of _____.

IX. "The staff of the Volunteer Instruction Pacs Project will have offices in the Division of Program Research and Design which is located at the Education Center, 230 East Ninth Street. This is the central administration offices for the City Public Schools. Desks, files, storage cabinets and work tables, movable partitions for the offices, telephones, cameras,

cassette and tape recorders, carrousel projectors and media preparation equipment will be purchased. The facilities already available at the audio-visual center of the City Public Schools will be utilized. Most of the activities will occur in the schools and no money will be expended in these situations as it relates to their activities."

This is an example of _____.

Exercise A--Solution

Directions: The correct answers to the exercise are given below. Check your work and then turn the page.

I. Abstract (1)

II. Equipment Justification (4)

III. Legal Assurances (2)

IV. Target Population (3)

V. Community Description (5)

VI. Legal Assurances (2)

VII. School Description (5)

VIII. Target Population (3)

IX. Equipment Justification (4)

Exercise B

Complete the Exercise according to the instructions given.

Part 1:

It is usually a good practice to ask selected members of the local school district to review the proposal document before it is sent to the funding agency. This is called the Internal Review Process. The review committee should be composed of persons who have not been part of the proposal development effort. In the spaces provided below, list three groups of persons within the District from which you might select your review panel.

1. _____

2. _____

3. _____

Part 2:

Once the review committee is selected, a memo should be written to accompany the proposal suggesting the kinds of things the panel might criticize. What aspects of the proposal document would you want the committee to check? In the spaces provided below, outline the memo you would send along with the proposal. The outline might be in the form of questions you would want the panel to answer.

1. _____

2. _____

3. _____

Exercise B--Solution

Part 1:

It is usually a good practice to ask selected members of the local school district to review the proposal document before it is sent to the funding agency. This is called the Internal Review Process. The review committee should be composed of persons who have not been part of the proposal development effort. In the spaces provided below, list three groups of persons within the District from which you might select your review panel.

1. *Parents*
2. *School board members*
3. *Technical or Evaluation Experts (who have not seen the proposal)*

Part 2:

Once the review committee is selected, a memo should be written to accompany the proposal suggesting the kinds of things the panel might criticize. What aspects of the proposal document would you want the committee to check? In the spaces provided below, outline the memo you would send along with the proposal. The outline might be in the form of questions you would want the panel to answer.

1. *Is the document complete? Does it contain all the proper materials?*
2. *Are the subsections integrated in a logical manner?*
3. *Are technical terms explained by footnotes?*

Exercise B

Presented below is one possible sequence of the components of a proposal document. Would you agree that this is the normal format? If you have suggestions regarding changes that might be made in the arrangement of the major components or subsections of the proposal, a worksheet has been provided on the next page for you to list your recommendations. Space has also been provided to list resources you might consult in order to determine the proper sequence of the sections.

POSSIBLE SEQUENCE

I. Cost Plan or Budget

II. Management Plan

- A. Project organizational chart
- B. Needs assessment
- C. Rationale
- D. Schedules
- E. School and community descriptions (i.e., facilities and services)

III. Technical Plan

- A. Abstract
- B. Goals and objectives
- C. Evaluation plan
- D. Project personnel descriptions
- E. Audit plan
- F. Dissemination plan
- G. Community involvement plan

IV. Title and Signature Page

V. Procedures or Strategy

Exercise B--Worksheet

List below the changes you might make in the possible sequence of proposal document components presented on the previous page. Your work should be in outline form.

What resources might you consult in order to determine the proper order of the proposal document components?

1. _____

2. _____

3. _____

Exercise B--Solution

The arrangement of the sections of the proposal document which is presented in this lesson and exercise is only one of many possibilities. Agency guidelines will usually include directions regarding the sequence of parts preferred by the agency and what information they should contain. The format and content of the proposal should follow these guidelines.

The changes you suggested should show a logical order of the divisions of the proposal and should take into consideration the total document. Most importantly, however, all the information that the funding agency will need must be included in the proposal.

SUGGESTED SEQUENCE

I. Title and Signature Page

II. Abstract

III. Technical Plan

- A. Needs assessment
- B. Goals and objectives
- C. Procedures or strategy
- D. Rationale
- E. Evaluation plan
- F. Audit plan
- G. Dissemination plan
- H. Community involvement plan

IV. Management Plan

- A. Project organizational chart
- B. Schedules
- C. Project personnel description
- D. School and community descriptions (i.e., facilities and services)

V. Cost Plan or Budget

Resources to consult about proper order of proposal document components.

1. Agency Guidelines
2. Agency Program Director
3. School District Project Management Office

Directions and Choices Following the Practice Exercises

Based upon the self-evaluation of your performance on the exercises, you have either:

A. acceptably satisfied the objective of describing the preparation of the final proposal document, and should now turn to the post-test found on page 29.

References for additional reading are listed on page 16 of the Module Manual.

B. not satisfied the objective and should read the lesson text beginning on page 9 and then rework the Exercises.

Post-Test

Directions: Please take time to answer carefully the questions given below following the specific directions given.

For statements 1 through 6 write T (True) if you agree with the statement, and F (False) if you do not.

1. ___Certain unusual or special items of equipment which have been listed in the Budget or Cost Plan should be described separately (in a separate section) in detail. This discussion should include information about special features of performance, and repair and service needs.

2. ___The major components of the final proposal document vary widely from agency to agency.

3. ___Staff qualifications and school and community descriptions are elements of the proposal document which the funding agency considers important in assessing the capabilities and qualifications of both the school and the community to handle the project.

4. ___Internal review and the acquisition of formal approvals should be carried out after the final proposal document is approved.

5. ___A poorly typed and duplicated proposal can often negate all of the efforts of the proposal development team.

6 ___An important facet of Grantsmanship is learning about both implicit and explicit criteria which will be used by the funding agency in evaluating the proposed project.

For items 7 and 8 complete the following statements.

7. A brief description (one or two paragraphs) of the proposed project, emphasizing the major objectives and procedures making up the project is called the_____.

8. The section of the final document which includes statements about racial or sexual discrimination, equal employment opportunity, and protection of human subjects is termed_____.

Circle the letter of the best answer for each of the following questions:

9. To what basic group do the goal and objectives of the proposal project refer?

   A. Board of Education
   B. Community, School and Staff
   C. Superintendent of Schools
   D. Target Student Population

10. Who has the responsibility of assuring that the time schedule is kept so as to avoid having the proposal project personnel work overtime at the last minute?

   A. Superintendent
   B. Proposal Director
   C. Secretary
   D. Project Staff

Turn the page and check your answers

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 8 post-test are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of preparing the final proposal document and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 9.*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of preparing the final proposal document. References for additional reading are listed on page 16 of the Module Manual.

True/False

1. T
2. F
3. T
4. F
5. T
6. T

Completion

7. Abstract
8. Legal Assurances

Multiple Choice

9. A B C (D)
10. A (B) C D

Number Correct=_____

Termination Instructions

This lesson on preparing the final proposal document is now completed. Lesson 9 entitled "Proposal Termination" is the next lesson in the sequence.

Lesson 9

Proposal Termination

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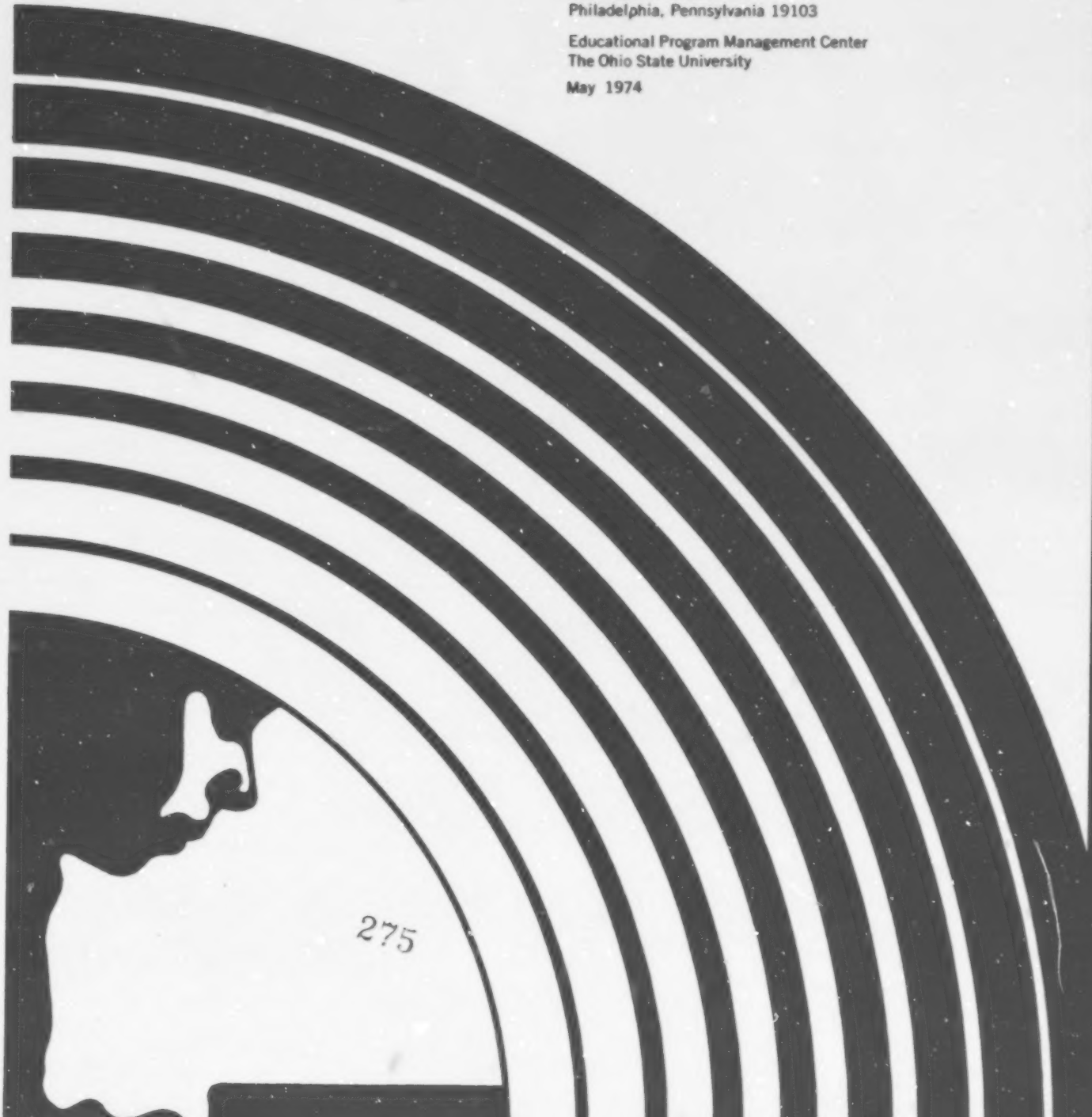
Educational Program Management Center
The Ohio State University

May 1974



EPMIS Educational Project Management Instructional System

Module 3
Proposal Development

Lesson 9

Proposal Termination

Developed by
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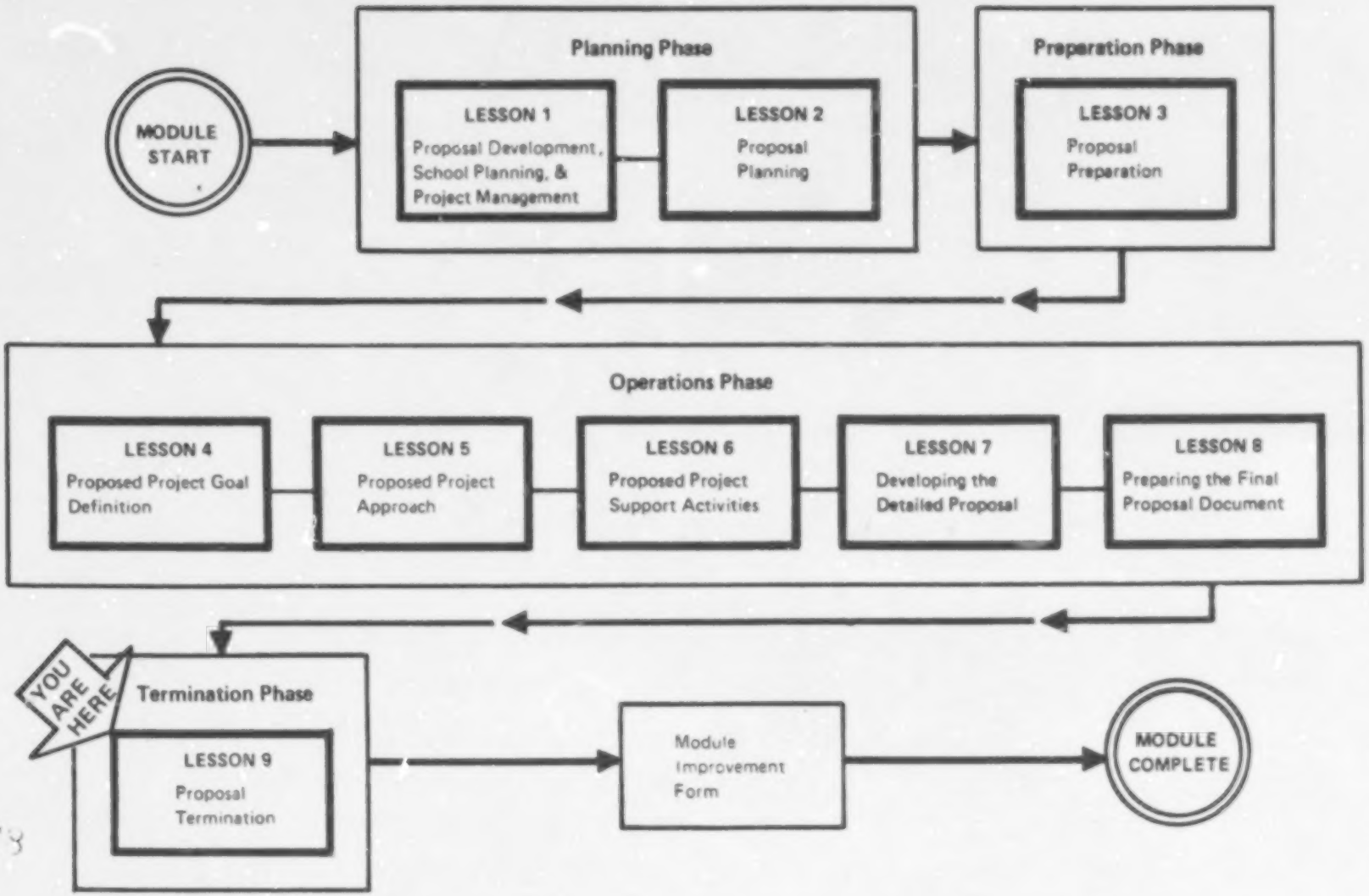
Introduction to Lesson

This lesson contains the following items. Make sure that each item is present before starting to work through the lesson.

Booklet containing the following items

	Page
Introduction to lesson	1
Overview and objectives	3
Pretest	4
Lesson Abstract and Content Outline	7
Lesson text	9
Practice Exercise	15
Post-test	24

LESSON LOCATION CHART



Overview and Objectives

OVERVIEW

The previous lesson was concerned with the various management activities involved in preparing the final proposal document, the last major task of the operations phase of the proposal development process.

This lesson, the last in the module, is concerned with the management activities of the termination phase of the proposal development process. These activities center around the submission of the proposal document to the funding agency, subsequent proposal negotiation, and the closing-out of the proposal development project.

OBJECTIVES

The student in completing this lesson should be able to describe in detail the activities involved in the termination of a proposal development effort. The specific objectives of the lesson are as follows:

1. The student should be able to describe in detail the activities involved in submitting a proposal document to a funding agency.

2. The student should be able to describe in detail the activities involved in proposal negotiation.

3. The student should be able to describe in detail the activities involved in the closing-out of a proposal development project.

Pretest

Directions: Please take time to answer carefully the questions given below, following the specific directions given.

For questions 1 to 4, indicate T (True) if you agree with the statement and F (False) if you do not.

1. ___ One last step to be managed before the proposal document is sent to the funding agency is securing signatures from the authorized officials in the school district.

2. ___ A proposal director should send the original signed proposal copy by registered mail with a return receipt requested.

3. ___ Acknowledgement by the funding agency of the receipt of the proposal document is not made until after the review process has been completed.

4. ___ As a result of the review process, a proposal document is sometimes modified to incorporate suggestions for modification and then resubmitted to the funding agency.

Complete the following statement.

5. A meeting between representatives of the school district and the funding agency to make whatever modifications may be necessary to the proposal project document is called the _____ session.

Circle the letter of the best answer for each of the following questions.

6. The school district must be sure not to spend or commit money prior to what point in time in the proposal development effort?

   A. Submission of the project final report.
   B. Mailing the proposal to the funding source.
   C. The effective date of the project.
   D. The negotiation session.

7. Management activities such as submitting the proposal document and negotiating with the funding agency belong to which phase of the proposal development effort?

   A. Planning
   B. Termination
   C. Preparation
   D. Operations

Using the list of three activities below involved in the termination phase of the proposal development effort, match each with the statement which best describes it.

   A. Writing the project history and final report.
   B. Retaining important records and documents.
   C. Releasing personnel of project responsibilities.

____8. Includes retaining a copy of the RFP (request for proposal), proposal submission guidelines, and proposed project organization chart.

____9. Includes ensuring that the proposal project team members have completed their termination tasks.

___10. Includes a description of the tasks that were performed while developing the proposal.

Turn the page and check your answers

Directions Following Lesson Pretest

Directions: The correct answers to Lesson 9 pretest are listed down the right margin. Check your correct responses.

Directions: If you answered eight or fewer questions correctly, you have not acceptably demonstrated knowledge of proposal termination and should read the lesson abstract and content outline on pages 7 and 8. Then begin the content presentation by turning to the lesson text on page 9.

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of proposal termination and should read the lesson abstract and content outline on pages 7 and 8. Then if you desire to skip the content presentation, you may do so by proceeding directly to the practice exercise on page 15. If you do desire to read the content presentation, turn to page 9.

True/False

1. T
2. T
3. F
4. T

Completion

5. negotiating

Multiple Choice

6. A B (C) D
7. A (B) C D

Matching

8. A (B) C D
9. A B (C) D
10. (A) B C D

Number Correct= _____

Lesson Abstract and Content Outline

ABSTRACT

This lesson deals with the fourth and final phase of the proposal development effort--proposal termination. The various activities which have to be managed during this phase include submitting the proposal document, negotiating with the sponsoring agency, seeing that the proposal development project history and final report are written, ensuring that important records and documents are retained, and releasing the personnel from their proposal development responsibilities.

CONTENT OUTLINE

A. The proposal termination phase of the proposal development process includes activities such as submitting the proposal document, negotiating with the funding agency, and closing out the proposal development effort.

B. After school officials have reviewed a "working copy" of the proposal and final changes made, formal approval and signatures from school officials and the project management office are secured.

    1. The time-consuming process of obtaining formal approval and signatures should be carefully planned, and incorporated into the proposal development project schedule.

    2. Copies might also be sent to the state department of education, or prospective consultants.

    3. The proposal may be rejected, categorized as acceptable subject to certain modifications, or accepted but not funded.

C. If the proposal is accepted, a negotiating session including the proposal director and the school district's fiscal officer is scheduled, to modify the technical, management, or cost plans as necessary.

    1. The "objective"-referenced budget is useful here, showing clearly the effect of proposed budget cuts upon project tasks and objectives.

2. The end product of proposal negotiation should be a mutually satisfactory grant or contractual arrangement between the school district and the funding agency.

D. Closing-out the proposal development effort involves writing a project history and final report, retaining important records and documents, and releasing personnel of proposal development responsibilities.

1. The project history will detail the tasks performed in developing the proposal, emphasizing aspects of the project unique to the proposal development process.

2. Important items which should be carefully retained include: a copy of the Request For Proposal, communications with the funding agency, records of expenditures, and proposal development documents.

3. Release of personnel from proposal development responsibilities should only occur after team members have completed their termination tasks.

Lesson Text

Introduction

Previous lessons in this module have been concerned with three sequential phases of the proposal development process--proposal planning, preparation, and operations. This lesson is concerned with the fourth and final phase, proposal termination.

The various activities that have to be managed in order to bring the proposal document into its final form were discussed in Lesson 8. This lesson is concerned with submitting the proposal document, negotiating with the funding agency, and closing-out, or ending, the proposal development effort.

Proposal Document Submission

Before a proposal is submitted to a funding agency, it should be reviewed by the appropriate school officials and receive their formal approval. The nature of the internal review process was discussed in the previous lesson. After that process has been completed and any suggested changes incorporated into the final proposal document, it is usually necessary to secure formal approvals from the project management office and school officials such as the assistant superintendent for instruction, the superintendent and the school board. School board approval may require an appearance before that body. Even if a personal presentation is not required, it may still be necessary to have the proposal approval listed as an item on the board's agenda.

Copies of the proposal document are usually submitted to the funding agency, even when the source of funding is the school board itself. Funding agencies often request twenty or more copies, of which one or more have

the original signature of the appropriate school official(s) (often the superintendent).

The process of obtaining approval for the proposal document and the signatures of the appropriate school officials can be quite time-consuming. Thus, the proposal director should carefully plan and monitor this process to ensure that the approvals and signatures are obtained well in advance of the deadline date for submitting the proposal. He should check to see if the deadline date is the calendar date by which the proposal is to be post marked or if it is the date of receipt by the funding agency. The original signed copy should then be sent by registered mail with a return receipt requested. The remaining proposal copies can be sent by less expensive means. An acknowledgement of the receipt of the proposal can be expected within a few days to one week. Most funding agencies will return a formal letter acknowledging the receipt of the proposal, stating the processing number assigned to it, and indicating to whom one should write or phone in the event any question arises regarding the review and disposition of the proposal. This letter may not arrive until a few weeks after the proposal is submitted.

In addition to the funding agency, it may be necessary to send copies to other agencies external to the local school district. For example, if the proposal is submitted to the federal government for funding, it may also be necessary to send an additional copy to the state department of education. It may also be advisable to send copies to prospective consultants. The review process varies with different funding agencies. Some use their own staff members to review all proposals submitted to them, some hire consultants or form a review panel, and others employ a combination of these approaches. When the review process has been completed, the school district will receive official notification of the rejection or acceptance of the proposal.

Rejection may not be outright. For example, the proposal may be categorized as being acceptable subject to certain modifications, and a request that it be resubmitted may be made.

Full acceptance may not be outright either. The proposal may be accepted but not funded until more monies become available to the agency. This may possibly involve waiting until the start of a new fiscal year. If the proposal is accepted for funding on the planned project start date, the funding may be conditional upon certain modifications being made in the proposed project activities and/or budget. Such modifications are discussed in the section which follows.

Proposal Negotiation

Following notification that a proposal has been accepted for funding, a negotiation session between representatives of the local school district and the funding agency is scheduled, either in person or by means of a conference call. It is usually beneficial for the school district to have the proposal director and the district's fiscal officer present at such negotiation sessions regardless of how they are handled.

The purpose of the negotiation session is to make whatever modifications may be necessary to the proposed project's technical, management, and cost plans. Usually the concern is to clear up issues and problems in the proposal, so that the district can more successfully complete the proposed project. Both program (project activities) and budget items may be modified before the final approval and funding of the proposed project.

The "program", or "objective"-referenced budget for the proposed project discussed in Lesson 7 can be most helpful during this negotiation process. The funding agency may want to reduce the amount allocated to a particular

budget category in the line item budget. By referring to the objective-referenced budget, the effect of this reduction can be interpreted more readily in terms of its effect upon project tasks that will have to be deleted or revised. In turn, the effects upon various project tasks can be interpreted in terms of reduced or modified project objectives. This kind of information can place the local school district in a more powerful bargaining position when negotiating with the funding agency. It also can prevent the district and funding agency from unknowingly compromising the educational benefits of a project through somewhat arbitrary budget and/or program modifications.

The final output of proposal negotiation should be a mutually satisfactory grant or contractual arrangement between the school district and the funding agency. This arrangement is then formalized in some type of grant award or contract document. The school district, of course, must be sure not to spend money (make binding commitments for the performance of work or the purchase of materials, supplies, and equipment) prior to the effective date specified in the grant award or contract document.

Closing-Out Proposal Development

The closing-out of the proposal development effort involves typical project termination activities, such as writing a project history and final report, retaining important records and documents, and releasing personnel of project responsibilities. Although the proposal director is primarily responsible for performing these tasks, it is quite probable that he will want help from members of the proposal development team. These tasks are discussed below.

Writing the Proposal Development Project History and Final Report.--The project history provides a documented, written record of the history of the proposal development effort. Properly prepared, it can be quite helpful to school district personnel charged in the future with developing proposals. The project history* should certainly include a description of the tasks that were performed in developing the proposal. Particular aspects of the project that are unique to the proposal development process should be emphasized. For example, communications and relationships with the funding agency, released time for the proposal development team, and arrangements for the involvement of parents and other community members in the development of the proposal should be of interest to future proposal directors.

A project final report for the proposal development effort may or may not be required. If the proposal development project was funded by an external agency under a planning grant, a project final report will most likely be required. If, however, the local school board "picked-up" any costs associated with the development of the proposal document, a final report may or may not be required by the board. The final report for a proposal development project should follow the same format as the final report for any project**

Retaining Important Records and Documents.--Whether or not the proposal effort was funded by an external source, certain records and documents should be retained. Some important items would be a copy of the Request for Proposal (RFP), any communications with the funding agency, proposal guidelines obtained from

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*A detailed discussion of how to write a project history appears in Lesson 12 of Module 2, Basic Principles and Techniques of Project Management, of the Educational Project Management Instructional System(EPMIS).

**A detailed discussion of how to write a project final report appears in Lesson 12 of Module 2, Basic Principles and Techniques of Project Management, of the Educational Project Management Instructional System (EPMIS).

the funding agency, records of any expenditures, and proposal development documents such as the work breakdown structure, work flow diagram, organizational chart, and management responsibility guide. These records and documents should be stored for easy access once the proposed project is approved and funded or when someone needs advice or help in a similar proposal development effort.

Release of Personnel from Proposal Development Responsibilities.--One of the tasks of the proposal director is to release the proposal team members from their proposal development responsibilities. In some cases this may involve releasing personnel from employment or transferring them to other positions within the school district. In most cases team members will have been performing their proposal development tasks in addition to their usual duties as regular employees of the school district. The important point for the proposal director to remember is that he should be sure that the team members have completed their termination tasks before he formally releases them from their responsibilities. Otherwise, he may find himself left with all of the "clean-up" activities.

Summary

The fourth and final phase of the proposal development process is the termination phase. The primary activities of the phase are obtaining the signatures of appropriate school officials on the original proposal document, sending the original and the required number of copies of the proposal to the funding agency, negotiating the proposal with the funding agency, and typical project termination activities such as writing a project history and final report, retaining important records and documents, and releasing personnel of their proposal development responsibilities.

Exercise A

Directions: You, as proposal director, have received notification from the funding agency to arrange for a conference call next Thursday at 4PM. During that time the school district will be involved in negotiating the project contract or grant with the sponsor.

The purpose of this exercise is to give you experience in making decisions about what resources you will need to have on hand for the negotiation session. You need to think in terms of who should be present, what reference or supporting materials you need to have on hand and what strategy you and your representatives will adopt.

In the following sections, check those key personnel you would ask to be present, the documents you would want to have available, and the strategy you might elect. When completed turn the last page.

1. Personnel to be involved in conference call.

___A. President of the PTA

___B. Subject area Specialist (mathematics)

___C. Proposal Project Director

___D. Proposed Project Manager

___E. Business Manager, or School Board Treasurer

___F. School System Attorney

___G. Public Relations Director

___H. Assistant Principal of Sanders Middle School

___I. Coordinator of Federal Programs

___J. Assistant Superintendent for Curriculum

___K. Superintendent of Schools

___L. Other _____

II. Documents to be available for reference.

____ A. Copy of the Request for Proposal (RFP).

____ B. Schedule of school system salaries and wages.

____ C. Progress report on the proposal development effort.

____ D. Agency guidelines.

____ E. Proposal document.

____ F. Other_____.

____ G. Other_____.

____ H. Other_____.

III. Negotiation strategy to be adopted.

____ A. No concessions to be made to the funding agency.

____ B. Concessions to be made on overall budget but not on schedule allotted for the project.

____ C. Equipment may be leased instead of bought.

____ D. Concessions to be made on equipment to be purchased but not on personnel.

____ E. Other_____.

Exercise A--Solution

Directions: You, as proposal director, have received notification from the funding agency to arrange for a conference call next Thursday at 4PM. During that time the school district will be involved in negotiating the project contract or grant with the sponsor.

The purpose of this exercise is to give you experience in making decisions about what resources you will need to have on hand for the negotiation session. You need to think in terms of who should be present, what reference or supporting materials you need to have on hand and what strategy you and your representatives will adopt.

In the following sections, check those key personnel you would ask to be present, the documents you would want to have available, and the strategy you might elect. When completed turn the last page.

I. Personnel to be involved in conference call.

___ A. President of the PTA

___ B. Subject area Specialist (mathematics)

__X__ C. Proposal Project Director

__X__ D. Proposed Project Manager

__X__ E. Business Manager, or School Board Treasurer

___ F. School System Attorney

___ G. Public Relations Director

___ H. Assistant Principal of Sanders Middle School

___ I. Coordinator of Federal Programs

___ J. Assistant Superintendent for Curriculum

___ K. Superintendent of Schools

___ L. Other

II. Documents to be available for reference.

__X__ A. Copy of the Request for Proposal (RFP).

____ B. Schedule of school system salaries and wages.

____ C. Progress report on the proposal development effort.

__X__ D. Agency guidelines.

__X__ E. Proposal document.

____ F. Other_____.

____ G. Other_____.

____ H. Other_____.

III. Negotiation Strategy to be adopted.

There is no one correct answer to this question. It is a decision made by the proposal director and the representatives of the school system in preparation for the conference call. A list of those items on which you would and would not compromise should be agreed upon ahead of time.

Exercise B

Directions: As Project Director, you have received a memo from the Program Management Office (PMO) requesting information regarding the disposition of personnel, equipment, and materials involved in the proposal development effort. Provided below is a list of suggested items which might be included in a response to the PMO. Check only those items which you would report to the PMO or which would be supportive of the efficient management of the Termination Phase of the proposal project.

___1. Disposition of equipment used during the proposal development effort.

___2. Retention of duplicate copies of receipts for payment to the consultant.

___3. Copy of RFP on file.

___4. Release of proposal team members from their proposal development responsibilities.

___5. Retention of proposal guidelines obtained from the funding agency.

___6. Retention of draft copies of the proposal.

___7. Progress on development of project history.

___8. Memorandum announcing initial meeting of proposal development team.

___9. Transfer of personnel to other positions within the school district.

___10. Copy of the bill for the conference call for the negotiating session with the funding agency.

Exercise B--Solution

Directions: The correct answers to Exercise B are given below. Check your work and then turn the page.

X 1. Disposition of equipment used during the proposal development effort.

___ 2. Retention of duplicate copies of receipts for payment to the consultant.

X 3. Copy of RFP on file.

X 4. Release of proposal team members from their proposal development responsibilities.

X 5. Retention of proposal guidelines obtained from the funding agency.

___ 6. Retention of draft copies of the proposal.

X 7. Progress on development of project history.

___ 8. Memorandum announcing initial meeting of proposal development team.

X 9. Transfer of personnel to other positions within the school district.

___ 10. Copy of the bill for the conference call for the negotiating session with the funding agency.

Exercise C

There are many activities associated with the submission of the proposal document to the funding agency which need to be carefully monitored by the proposal director. Presented below are several possible activities which might occur during this period. Eliminate those which do not deal immediately with the proposal submission process by drawing a line through them.

1. Conduct the internal review process.
2. Obtain formal approvals from the proper project management office and school officials.
3. Have the specified number of copies of the proposal duplicated.
4. Send the original, signed copy of the proposal separately to the funding agency by registered mail.
5. Prepare history of the proposal development effort.
6. Send copies of the proposal to prospective consultants.
7. Check deadline to see if it is the date by which the proposal must be postmarked or the date by which it must arrive at the funding agency.
8. Make sure that all final documents are complete including the necessary Appendices (no blank pages inserted by mistake during the duplication process).
9. Arrange for pick up or delivery of the proposal package to mail or express office.
10. Send copy of final proposal document to the Superintendent's office for reference use.

Exercise C--Solution

Activities 1, 5, and 6 should have been crossed out. The first activity would have taken place well before the actual proposal submission process began. Records will have been kept during the course of the proposal project so that a history of the effort may be written (Item #5), but the actual preparation will not begin until after the proposal is submitted.

Although it is very important to send a copy of the proposal document to prospective consultants (Item #6) in plenty of time so that they may review it before starting to work, this activity is not considered part of the actual process of submitting the proposal to the funding agency.

Directions and Choices Following the Practice Exercises

Based upon the self-evaluation of your performance on the exercises, you have either:

A. acceptably satisfied the objective of describing in detail the activities involved in proposal termination and should now turn to the post-test found on page 24.

References for additional reading are listed on page 16 of the Module Manual.

B. not satisfied the objective, and should read the lesson text beginning on page 9 and then rework any exercises you did not solve satisfactorily.

Post-Test

Directions: Please take time to answer carefully the questions given below, following the specific directions given.

Circle the letter of the best answer for each of the following questions.

1. Management activities such as submitting the proposal document and negotiating with the funding agency belong to which phase of the proposal development effort?

   A. Planning
   B. Termination
   C. Preparation
   D. Operations

2. The school district must be sure not to spend or commit money prior to what point in time in the proposal development effort?

   A. Submission of the project final report.
   B. Mailing the proposal to the funding source.
   C. The effective date of the project.
   D. The negotiation session.

For questions 2 to 6, indicate T (True) if you agree with the statement and F (False) if you do not.

3. ___ Acknowledgement by the funding agency of the receipt of the proposal document is not made until after the review process has been completed.

4. ___ As a result of the review process, a proposal document is sometimes modified to incorporate suggestions for modification and then resubmitted to the funding agency.

5. ___ A proposal director should send the original signed proposal copy by registered mail with a return receipt requested.

6. ___ One last step to be managed before the proposal document is sent to the funding agency is securing signatures from the authorized officials in the school district.

Complete the following statement.

7. A meeting between representatives of the school district and the funding agency to make whatever modifications may be necessary to the proposal project document is called the _____ session.

Using the list of three activities below involved in the termination phase of the proposal development effort, match each with the statement which best describes it.

A. Writing the project history and final report.
B. Retaining important records and documents.
C. Releasing personnel of project responsibilities.

____8. Includes retaining a copy of the RFP (request for proposal), proposal submission guidelines, and proposed project organization chart.

____9. Includes ensuring that the proposal project team members have completed their termination tasks.

____10. Includes a description of the tasks that were performed while developing the proposal.

Turn the page and check your answers

Directions and Choices Following Lesson Post-Test

Directions: The correct answers to Lesson 9 post-test are listed down the right margin. Check your correct responses.

Directions: If you answered eight or less questions correctly, you have not acceptably demonstrated knowledge of proposal termination and should select one or more of the following courses of action.

1. *Read the lesson text beginning on page 9.*
2. *Rework the lesson post-test.*

Directions: If you answered nine or more questions correctly, you have acceptably demonstrated knowledge of the proposal termination process. References for additional reading are listed on page 16 of the Module Manual.

Multiple Choice

1. A (B) C D
2. A B (C) D

True/False

3. F
4. T
5. T
6. T

Completion

7. negotiating

Matching

8. A (B) C D
9. A B (C) D
10. (A) B C D

Number Correct=_____

Termination Instructions

The lesson on proposal termination is now completed.